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ABSTRACT

The San Diego (California) Saturation Work Initiative Model (SWIM) was part of the Social Security Administration's two-site demonstration of saturation work programs in an urban area. The multicomponent program operated from July 1985 until late 1987, when it was replaced by a new statewide initiative called the Greater Avenues for Independence (GAIN) program. The model was designed to test the feasibility of requiring the continuous participation of welfare applicants and recipients in a series of work-related activities for as long as they remained on welfare. The program activities included job search, work experience, and referral to education and training programs. The program was examined from the standpoint of two perspectives--the extent to which the full Work Incentive (WIN)-mandatory caseload was involved in employment-related activities at a particular point in time and the continuity of individuals' participation in the program. During typical months of the demonstration, approximately half the WIN-mandatory caseload subject to the participation requirement was active in one of the program's components. Although many program eligibles did not participate on a continuous basis, it was concluded that San Diego reached the maximum feasible participation rates for the type of program in question. (MN)

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INTERIM REPORT ON THE

SATURATION WORK INITIATIVE MODEL IN SAN DIEGO

Gayle Hamilton

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INTERIM REPORT ON THE SATURATION WORK INITIATIVE MODEL IN SAN DIEGO

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with

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While the authors share responsibility for this report, they benefited from the contributions of many individuals in California and at MDRC.

As principal investigator for the SWIM evaluation, Gayle Hamilton had the lead role in all work in San Diego and in writing this report. Barbara Goldman was responsible for the evaluation design and guided the research effort since its inception. She also played a major role in shaping this report. Vilma Ortiz conducted the estimation of program impacts and wrote the impact chapter. Electra Taylor oversaw data quality assessment activities as well as the noncompliance study, and wrote the research design chapter. Rudd Kierstead produced the participation estimates, assisted in the analysis and handled special studies of childcare and nonparticipation.

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Sherwood coordinated MDRC's work with California during the design phase of the project. Support was also provided by Sharon Rowser, who interviewed program staff in connection with education and training activities. In the Information Services Department, Karen Paget supervised the processing of the data files, aided by Darlene Hasselbring, who was instrumental in designing and monitoring San Diego's automated tracking system and random assignment procedures. Within this department, Anita Kraus and Shirley James provided assistance. In the Research Department, Daniel Friedlander was an advisor on the impact analysis; Gregory Hoerz played a key coordination and advisory role in a variety of areas; John Wooden produced and helped analyze the impact estimates; Mark Levinson provided programming assistance; and Sara Cohen and Elizabeth Eisner, assisted by Steve Walsh, coordinated report and table production. Felicity Skidmore edited the report with the help of Carla Fine, Alex Kopelman and Robin Freedman. Patt Pontevolpe, Claudette Edwards and Stephanie Amy Cowell contributed their word processing skills.

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The Authors

PREFACE

This is the first of two reports on a welfare employment initiative operated in San Diego, California as part of the Social Security Administration's two-site Demonstration of Saturation Work Programs in an Urban Area. Philadelphia, Pennsylvania was the other site. The study looks at a multicomponent program that operated from July 1985 until late 1987, when it was replaced by a new statewide initiative, the Greater Avenues for Independence (GAIN) program.

The demonstration is of particular importance because of the unusual nature of the program and the strength of the research design. San Diego tested the feasibility of requiring continuous participation of welfare applicants and recipients in a series of work-related activities for as long as they remained on welfare. The activities included job search, work experience, and referral to education and training programs. The study was intended to determine the maximum feasible level of monthly participation, as well as to provide information on the sensitivity of measured rates to different definitions of participation. The impacts of such a program on employment and welfare receipt were also of primary interest.

This report covers issues of implementation and participation, and presents short-term impacts on employment and welfare receipt. The final report, scheduled for 1989, will examine longer-term impacts and compare the program's benefits and costs.

We hope that the findings from this evaluation will contribute to informed decision-making and ultimately lead to the development and operation of even more effective programs designed to increase the self-sufficiency of welfare recipients.

Judith M. Gueron
President

EXECUTIVE SUMMARY

For approximately two years, starting in July 1985, the County of San Diego in California operated the Saturation Work Initiative Model (SWIM) as part of the Social Security Administration's two-site Demonstration of Saturation Work Programs in an Urban Area. Philadelphia, Pennsylvania was the other site. The demonstration, directed towards individuals applying for or receiving benefits under the Aid to Families with Dependent Children (AFDC) program, was intended to test the feasibility of having at least three-quarters of program-eligibles active in a welfare employment program at all times as well as the impact of such a program on employment and welfare receipt.

The Manpower Demonstration Research Corporation (MDRC) has been evaluating SWIM under a contract from the California Department of Social Services. This report, the first of two, examines the feasibility of continuously serving a large proportion of the WIN-mandatory caseload. In San Diego, this included both people on AFDC (mostly women who are single heads-of-household with children aged six or older) and on AFDC-U (mostly men in two-parent households). Together, these groups accounted for approximately 40 percent of the welfare caseload.

The report examines different ways of measuring participation and the factors that affected participation levels. Short-term impacts on employment and welfare receipt are also presented. A final report, scheduled for completion in 1989, will examine longer-term impacts and compare the program's benefits and costs.

Policy Significance of SWIM

As part of a broader debate about the conditions that should properly be attached to the receipt of welfare, there is strong interest in learning the extent to which AFDC recipients can be required to participate in employment-related activities in return for their grant. The SWIM demonstration grew out of a general philosophy that the participation requirement should be greater than had been the case in most previous welfare employment programs, which tended to impose short-term obligations, often for only a part of the WIN-mandatory caseload.

By explicitly seeking to maximize the proportion of the entire WIN-mandatory caseload that participates for the full duration of their stay on welfare, SWIM provides an opportunity to begin determining realistic benchmarks for programs which similarly try to "saturate" the caseload. Development of these benchmarks also bears directly on the congressional debate about whether -- and, if so, at what level -- participation standards should be set for welfare employment programs.

Participation rates can be examined from several perspectives. Two of those addressed in this report are particularly relevant. The first perspective focuses on the extent to which the full WIN-mandatory caseload was involved in employment-related activities at a particular point in time. This is measured as a "monthly participation rate" -- the proportion of individuals eligible for the program during a month who actually participated during that month. The second perspective concerns the continuity of individuals' participation, and is measured as the percentage of registrants who participated during every month they were subject to the program's requirements.

These two measures, together with an examination of the reasons why individuals did not participate, help define the feasible upper bounds of a participation (or "saturation") requirement. As this report will describe, however, the results are sensitive to the method by which participation rates are calculated and to the specific conditions in San Diego during the period of the SWIM demonstration. These and other factors, such as program costs and benefits, need to be taken into account in assessing the feasibility of achieving particular participation levels.

Overview of Findings

The SWIM program operated in place of WIN in two of the most urban of the county's seven welfare administrative areas, comprising about 40 percent of the county's caseload. Program activities included job search assistance which taught participants how to locate and obtain unsubsidized jobs; the Employment Work Experience Program (EWEP) which required recipients to work in public or nonprofit agencies in exchange for their benefits; and referrals to community education and training programs.

During typical months of the demonstration, approximately one-half of the WIN-mandatory caseload subject to the participation requirement was active in either job search, work experience, education and training, or employment while still registered with the program. About one-third participated during almost all the months that they were eligible for the program.

Despite the fact that many program-eligibles did not participate on a continuous basis, the report concludes that San Diego reached the maximum feasible participation rates for a program such as SWIM. This is suggested by a number of factors. Individuals who did not participate in a particular month were often only temporarily inactive. In addition, most of those who did not participate had legitimate reasons for being inactive, such as waiting for program components to begin. In all, only about 10 percent of those eligible in any month failed to participate without a program-approved reason.

There are a number of reasons for caution in generalizing the San Diego findings to other areas or situations. For example, the results were very sensitive to the types of activities counted as "participation" (e.g., program-arranged activities, self-initiated education and training, or in-program employment) as well as to those who were counted as "program-eligible." In addition, the particular conditions in San Diego -- a relatively good labor market coupled with California's high grant levels, the county's extensive community education and training resources, its lengthy prior experience in operating similar employment initiatives, and the availability of supplementary funding -- suggest that comparable rates might not be achieved in other areas of the state or nation with less favorable conditions. An examination of participation levels in similar saturation programs in other locations is needed to determine the range of levels achievable under varied conditions and resources.

Finally, calculation of the participation rates presented in this report hinged upon the existence of comprehensive and accurate data. Much of the data came from a management information system established specifically for the demonstration. Participation rates could not readily be calculated for programs lacking such data systems.

The study's impact analysis showed that, at least in the short-run, SWIM increased both employment and earnings and reduced welfare receipt for AFDC registrants (called AFDC-FG's in California). These positive impacts were sustained throughout the nine- to twelve-month follow-up period and in some cases were still increasing at the end of this period. For the AFDC-U registrants, SWIM increased employment and reduced welfare payments, although impacts on earnings were less consistent. The employment gains for the AFDC-U's are of particular interest in light of the absence of employment impacts in several prior MDRC studies of programs for this population. The final report on SWIM will extend the analysis to determine whether the impacts are sustained over a longer period of time.

Program Context

As noted above, San Diego was an unusual setting in which to test the feasibility of operating a multi-component program with an ongoing participation requirement for most of the WIN-mandatory caseload.

First, during the period SWIM operated, the San Diego economy was relatively healthy. Unemployment rates in the county were below those for the State of California and the United States as a whole. Additionally, program registrants benefited from the tenth highest welfare grant level in the country. California's high AFDC grant levels, coupled with San Diego's healthy economy, enabled more program registrants to combine unsubsidized employment with the receipt of welfare than would be the case in other areas. In SWIM, employment of at least 15 hours per week fulfilled the program's participation obligation.

Second, unlike some areas of the country, San Diego has an extensive network of educational and training facilities. The availability of these opportunities increased the likelihood that SWIM registrants could, on their own initiative, participate in these programs. This network of services also facilitated SWIM staff's placement of registrants in these activities.

Third, unlike many welfare agencies, the San Diego County welfare department had lengthy experience in successfully implementing welfare employment programs. The SWIM model itself was an expansion of the county's previous program, which involved three-week job search workshops, followed by 13 weeks of work experience. Prior to that, the county had experimented with workfare programs for food stamp recipients. This experience reduced some of the start-up issues that might otherwise have been expected in SWIM and contributed to relatively smooth program implementation.

Fourth, the county's regular WIN allocation was supplemented by State Employment Preparation Program (EPP) monies and by special federal demonstration funds. SWIM, therefore, does not test program participation rates achievable if only WIN funding were available.

It is also important to understand the characteristics of the individuals who entered the program, since the nature of the targeted population probably affected participation levels and program impacts. Among the AFDC registrants in the impact sample, 39 percent were applicants and almost all were females, with an average age of 34. Forty-two percent were black, 27 percent were white, and 26 percent were Hispanic. Eight percent of the AFDC sample spoke only Spanish. Fixty-six percent had a high school diploma or GED. Over half of the sample had received welfare for at least five years during their entire life. Almost half of the sample had never been employed throughout the two and one-half years prior to initial program registration.

Among the AFDC-U impact sample members, 60 percent were applicants. Ninety-one percent were male, averaging 33 years of age. Forty-two percent of the AFDC-U's were Hispanic, and 16 percent spoke only Spanish. Twenty-five percent were white, 20 percent were black and 11 percent were Asian. Less than half (46 percent) had a high school diploma or GED. The AFDC-U sample did not have as much of a welfare history as the AFDC sample: Less than 15 percent had received welfare for at least five years during their entire life. Less than one-third had never been employed throughout the two and one-half years prior to registration.

Program Model

The SWIM program model specified set sequences of components, depending on registrants' activities as of and prior to registration. The majority of individuals were assigned to an initial two-week job search workshop. The first week of the workshop consisted of group sessions designed to build self-confidence and job-seeking skills. In the second week, registrants used telephone banks to call prospective employers. Individuals who did not find employment by the end of the workshop were referred to EWEP, or work experience, in which they were required to hold positions in public or nonprofit agencies for up to 13 weeks. Concurrent with EWEP, registrants were referred to biweekly job clubs, which were usually similar to the "telephone" portion of the job search workshops.

Those who completed EWEP and job clubs without finding employment were assessed to determine their next activity. Options included Adult Basic Education programs, courses for General Educational Development (GED) diploma preparation, English as a Second Language (ESL) programs, skills training, on-the-job training and additional job search activities. SWIM did not operate or fund education or training activities. Rather, program staff referred registrants to existing community programs.

There were several variations to the above sequence, depending on whether registrants had attended job search workshops or EWEP as part of a previous program. In addition, registrants who were enrolled in education or training activities at the time of initial program registration were allowed to continue in these activities if they met the program's requirements as to content, duration and intensity. Similarly, registrants who were employed at least 15 hours per week at the time of initial program registration were not assigned to program activities. However, once a registrant completed or dropped out of a self-initiated education or training program or stopped working, he/she was assigned to the regular SWIM program sequence.

Implementation Findings

- **Registrants generally proceeded smoothly through the program, in spite of a complicated case management structure. Substantial staff resources were required, however, to carry out case management tasks.**

Several different agencies or staff units provided program services and served as case managers to registrants progressing through the SWIM model. Each set of staff provided one type of program activity. As registrants completed an activity, they were referred to a different set of staff.

Two factors contributed to the relatively smooth progression of registrants from one component to another. First, the county had extensive experience with this type of case management. Second, the fixed-sequence nature of most of the SWIM model provided staff with clear guidelines on activity assignments.

Program staff were occupied by case management tasks to a greater extent than the provision of direct program services. Two-thirds of professional staff time connected with SWIM was spent on case management tasks: monitoring attendance, dealing with noncompliance, arranging support services and tracking registrants' activities. Over one-third of the staff time spent on case management consisted of arranging and authorizing support service payments.

- **Although the SWIM automated tracking system was designed to aid in case management as well as provide data for the research, the system functioned primarily as a data depository and not as an interactive system that provided timely assistance to staff in tracking registrants.**

In part, the time case managers spent on tracking registrants' activities reflected the fact that the SWIM automated tracking system was not fully exploited. One set of staff was responsible, along with their other program duties, for ensuring that the automated system reflected all registrant activity. Given the many program components in SWIM, the various sets of staff involved and the program's ongoing participation requirement, this task was very time-consuming. Although the system could have been used to do much of the clerical work in tracking registrants' activities, the county did not have the staff or resources to develop computer routines that would allow local offices to make extensive use of the system.

Participation Within a 12-Month Follow-Up Period

- **About two-thirds of those eligible for SWIM services participated in some activity within 12 months of initial program entry. Most participants were active in job search, with fewer in EWEP or education/training activities.**

Slightly over half -- 51 percent of the AFDC registrants and 57 percent of the AFDC-U registrants -- participated in some type of job search activity during the follow-up period. Most of these participants were active in two-week job search workshops, generally the first type of activity to which registrants were assigned.

Participation was not as common in work experience, which generally followed job search activities. Approximately 19 percent of both AFDC's and AFDC-U's participated in EWEP during the 12 months following registration.

Approximately 24 percent of the AFDC registrants and 17 percent of the AFDC-U registrants participated in education or training activities within the follow-up period. The majority of these participants were placed in these activities by program staff. However, the extent to which SWIM increased registrants' enrollment in education and training beyond what individuals would have done on their own is not yet clear. This information will be available for the final SWIM report.

According to program activity data, over one-third of the SWIM-eligibles were employed at some point for at least 15 hours per week while remaining registered with the program. Individuals who were employed less than 15 hours per week were assigned to regular program activites, while those employed part-time (15-30 hours per week) were deferred. Individuals employed more than 30 hours per week were eventually deregistered from the program.

Eleven percent of the AFDC's and 8 percent of the AFDC-U's were sanctioned for noncompliance within the 12-month follow-up period. These rates were higher than those observed in most of the programs evaluated as part of MDRC's Demonstration of State Work/Welfare Initiatives.

Levels of Monthly Participation

As discussed above, several different measures were used to address the extent to which SWIM imposed an ongoing participation requirement on a substantial proportion of those eligible for the program. Findings using two of these measures are outlined below. The first measure estimates the percent of those eligible for the program in any given month who participated during that month (i.e., monthly participation rates) and indicates the types of activities in which registrants were participating each month. The second measure examines the extent to which individuals participated during every month they were eligible for the program, by calculating the proportion of registrants' program-eligible months in which they participated.

Approximately 8,300 individuals were eligible for program services during the two-year time span of the demonstration. Once the existing caseload was phased into the program, an average of 3,592 individuals were eligible for services in any month.

- **Monthly participation rates varied greatly, depending on the types of activities counted. During the second year of SWIM, average monthly participation rates were 22 percent if only those in program-arranged services are included, increased to 33 percent when education and training activities initiated by registrants are also counted, and reached 52 percent by further including employment while registered.**

Figure 1 presents monthly participation rates for each of the 24 months of the demonstration. Rates for SWIM as an ongoing program are best reflected in the figures for the second year, when the existing WIN-registrant caseload had been phased into SWIM. In any one month during this period, between 18 and 28 percent of those eligible at least one day for the program participated in job search, work experience, or program-arranged education or training. Defined in this manner, monthly participation rates were similar for AFDC's and AFDC-U's.

When the definition of participation was expanded to also include registrant-initiated education and training, monthly rates were from 31 to 35 percent during the second year. This proportion was similar for AFDC's and AFDC-U's.

If employment while registered is also counted as participation, the rates ranged from 47 to 55 percent. Monthly participation rates calculated in this manner were slightly higher for AFDC's than for AFDC-U's, because welfare regulations permit AFDC's to combine work and welfare to a greater extent than AFDC-U's.

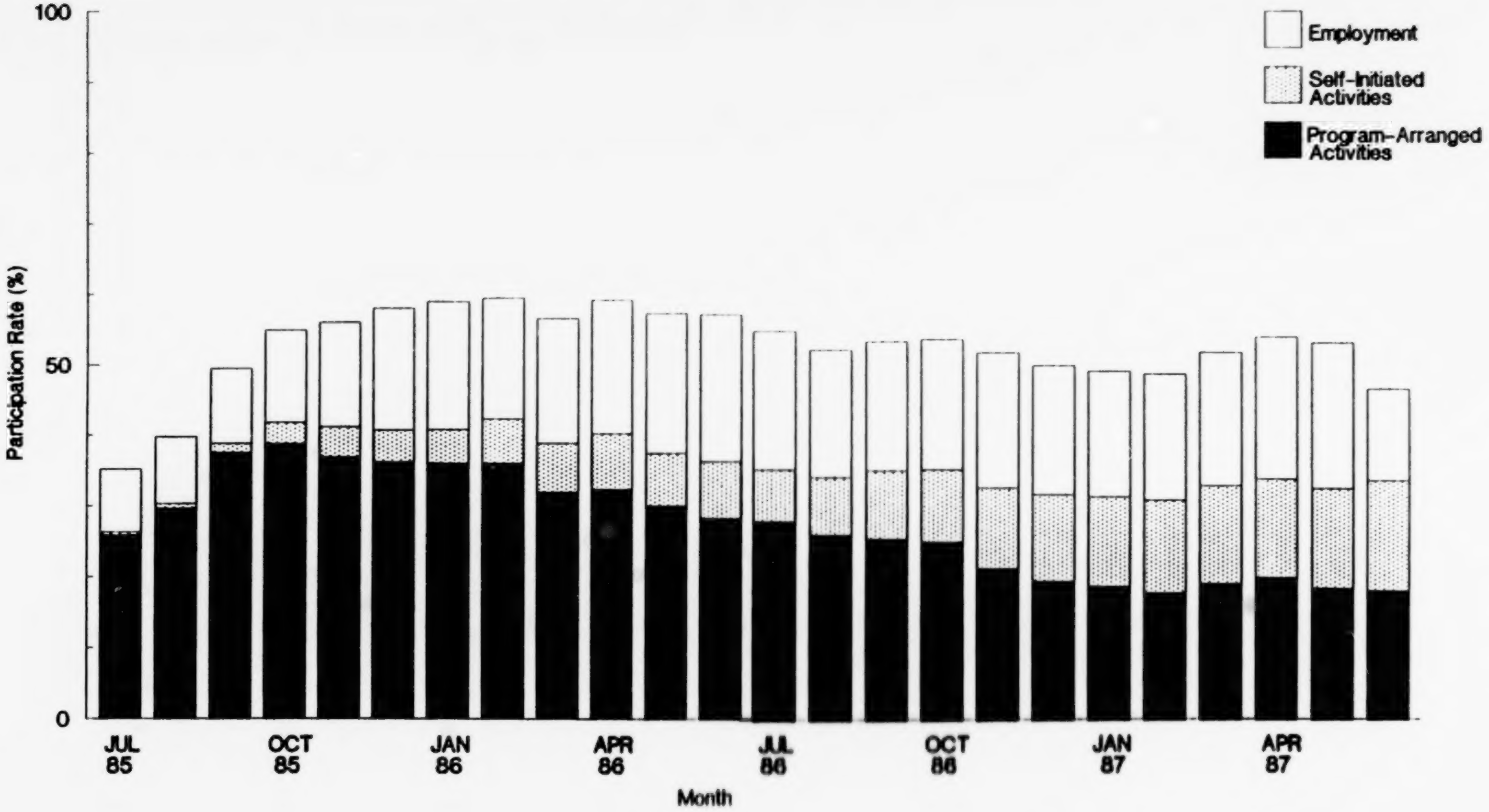
- **Approximately one-third of program-eligibles participated during almost all the months they were in the program. This included individuals who were in the program for relatively long periods of time.**

On average, registrants were eligible for SWIM services for 7.8 months during the 12-month follow-up period. A small proportion of all regis-

FIGURE 1

SWIM

PERCENT OF INDIVIDUALS ELIGIBLE FOR SWIM DURING EACH MONTH WHO PARTICIPATED IN PROGRAM-ARRANGED ACTIVITIES, SELF-INITIATED ACTIVITIES OR EMPLOYMENT, BY TYPE OF ACTIVITY



trants -- 16 percent -- either participated in program activities or were employed in each month they were eligible.

However, if a few months of inactivity are allowed, 36 percent of registrants were active in almost all (70 percent) of the months they were program-eligible. On average, this group was eligible for the program for 8.0 months during the follow-up period. Continuous participation was as likely for individuals with long periods of eligibility as for those with short periods.

- **While monthly participation rates fell short of the 75 percent goal, an examination of reasons for nonparticipation indicated that San Diego achieved the maximum rates possible in SWIM.**

According to case file reviews, close to 90 percent of those eligible for program services in any month were either active or otherwise complied with program requirements during the month, even if they did not participate. Only about one-tenth were inactive due to noncooperation or program staff failure to assign or follow-up registrants.

Among those inactive, many were assigned to components (e.g., job search workshops, EWEP worksite positions or education/training programs) scheduled to begin during the next month. Some individuals were temporarily excused from participation due to illness or other situational factors. Some were pending deregistrations. A small number were undocumented workers, who were required to register for the program but were not required to participate.

As this suggests, many of those who did not participate in a given month were only temporarily inactive. In fact, about one-quarter of those inactive participated in either the month before or the month following their inactive month. In all, two-thirds of those inactive in any month participated at some point in SWIM.

Implications for Setting Participation Standards

- **SWIM shows that participation rates are affected by many factors, including the program model and local conditions. Consequently, localities will face unequal challenges in trying to achieve the same monthly participation rates.**

The SWIM program model placed some constraints on measured participation. First, the evaluation only counted as program participants people who were active in specific, real components: job search workshops or job clubs, EWEP, or education and training. Administrators interested in maximizing measured rates could instead define participation in a less stringent manner, by also including assessments, assignment to an activity or participation in less demanding services -- for example, ongoing individual job search.

Second, in SWIM, some temporary inactivity occurred when individuals made the transition from one component to another. While administrative actions could reduce some of this (e.g., by scheduling job search workshops more frequently), other lags were not subject to program control (e.g., cycles for particular education courses).

The SWIM findings also suggest that the local setting can affect participation in a number of ways. For example, in a typical month of the SWIM demonstration, 19 percent of the WIN-mandatory caseload fulfilled their participation requirement through employment of at least 15 hours per week. In other states, jobs might not have been as readily available or, alternatively, part-time work would have effectively moved someone off welfare. Other factors that can be expected to vary across locations include the extent of self-initiated education and training, the rates of welfare turnover, and the characteristics (and employability) of welfare recipients.

For all of these reasons, localities will face different challenges in achieving any particular participation rate. Further, this rate may reflect very diverse combinations and intensities of activities across sites.

- **Although the concept of a monthly participation rate is a relatively simple one, the calculation of such rates requires high-quality data.**

Both San Diego County and MDRC staff invested substantial time to ensure that the SWIM automated tracking system contained all data items necessary for the research. Further, complicated programming was needed to calculate monthly participation rates. Without this type of data or programming capability, it would have been difficult to present such a comprehensive analysis of participation. At the very least, time-consuming manual reviews of program case files would have been necessary to measure participation rates.

In addition, monthly participation rates were very sensitive to the quality of the data used in the analysis. Due to the importance of these data to the research, county staff spent increased time on the collection and monitoring of program tracking data.

Impact Findings

To evaluate the impacts (or program effects) of SWIM, individuals in the current WIN-mandatory caseload of the two SWIM offices, along with any individuals determined to be WIN-mandatory during the year, were randomly assigned to an experimental or control group during the first 12 months of the program. Those in the experimental group were required to participate in SWIM; members of the control group were not assigned to SWIM activities but could, on their own initiative, enroll in community programs.

Impacts were estimated by comparing the welfare and employment experiences of the experimental and control groups over time. All experimentals -- both participants and nonparticipants as well as those who found employment and those who did not -- were compared to all controls. Outcome differences between experimentals and controls were considered statistically significant if there was no more than a 10 percent possibility that they could have occurred by chance. Follow-up data on welfare payments were obtained from AFDC records maintained by the County of San Diego; earnings data came from the California Unemployment Insurance system.

In this report, impacts are examined for a relatively short period after random assignment -- approximately nine months for employment and earnings and 12 months for AFDC receipt. The final report will include longer follow-up.

- **For AFDC registrants, SWIM resulted in statistically significant employment and earnings gains as well as welfare savings.**

During the full nine-month follow-up period, 46.4 percent of AFDC experimentals were employed at some point compared to 36.4 percent of the controls. (See Table 1.) This is a statistically significant difference of 10 percentage points or an improvement of 27 percent. Over this same period, experimentals had average earnings of $1,442 compared to $1,185 for controls. This represents a statistically significant earnings gain of

TABLE 1

SWIM AFDC SAMPLE: SHORT-TERM IMPACTS ON EMPLOYMENT, EARNINGS, WELFARE RECEIPT, AND WELFARE PAYMENTS

Outcome and Follow-Up Period	Experimentals	Controls	Difference
Ever Employed, Quarters 2-4 (%)	46.4	36.4	+10.0***
Average Number of Quarters with Employment, Quarters 2-4	0.97	0.76	+0.22***
Ever Employed (%)			
Quarter of Random Assignment	27.9	25.1	+2.7**
Quarter 2	30.8	24.6	+6.3***
Quarter 3	32.9	25.3	+7.6***
Quarter 4	33.5	25.7	+7.8***
Average Total Earnings, Quarters 2-4 ($)	1442.00	1185.47	+256.54***
Average Total Earnings ($)			
Quarter of Random Assignment	296.68	285.23	+11.44
Quarter 2	371.00	338.25	+32.76
Quarter 3	497.69	392.03	+105.66***
Quarter 4	573.31	455.19	+118.12***
Ever Received Any AFDC Payments, Quarters 2-5 (%)	91.1	91.9	-0.7
Average Number of Months Receiving AFDC Payments, Quarters 2-5	8.59	9.12	-0.53***
Ever Received Any AFDC Payments (%)			
Quarter of Random Assignment	91.2	91.4	-0.3
Quarter 2	89.7	89.7	-0.1
Quarter 3	78.9	81.5	-2.6**
Quarter 4	70.6	76.0	-5.5***
Quarter 5	65.8	72.4	-6.5***
Average Total AFDC Payments Received, Quarters 2-5 ($)	4424.00	4827.08	-403.08***
Average AFDC Payments Received ($)			
Quarter of Random Assignment	1193.27	1194.12	-0.86
Quarter 2	1286.17	1331.93	-45.76**
Quarter 3	1119.45	1224.55	-105.10***
Quarter 4	1031.55	1159.81	-128.27***
Quarter 5	986.83	1110.78	-123.95***
Sample Size	1606	1605	3211

NOTES: These data include zero values for sample members not employed and for sample members not receiving welfare. A two-tailed t-test was applied to differences between experimental and control groups. Statistical significance levels are indicated as: * = 10 percent; ** = 5 percent; *** = 1 percent.

TABLE 2

SWIM AFDC-U SAMPLE: SHORT-TERM IMPACTS ON EMPLOYMENT, EARNINGS, WELFARE RECEIPT, AND WELFARE PAYMENTS

Outcome and Follow-Up Period	Experimentals	Controls	Difference
Ever Employed, Quarters 2-4 (%)	53.4	44.0	+9.3***
Average Number of Quarters with Employment, Quarters 2-4	1.13	0.94	+0.19***
Ever Employed (%)			
Quarter of Random Assignment	37.9	35.8	+2.1
Quarter 2	36.3	29.2	+7.1***
Quarter 3	37.9	31.7	+6.2**
Quarter 4	38.9	32.8	+6.0**
Average Total Earnings, Quarters 2-4 ($)	2364.77	2027.77	+337.01*
Average Total Earnings ($)			
Quarter of Random Assignment	600.73	601.44	-0.71
Quarter 2	656.56	564.15	+92.41
Quarter 3	837.00	692.33	+144.67*
Quarter 4	871.21	771.29	+99.93
Ever Received Any AFDC Payments, Quarters 2-5 (%)	86.2	86.4	-0.3
Average Number of Months Receiving AFDC Payments, Quarters 2-5	7.57	7.93	-0.37
Ever Received Any AFDC Payments (%)			
Quarter of Random Assignment	85.6	84.4	+1.2
Quarter 2	83.4	83.9	-0.5
Quarter 3	67.5	71.0	-3.5
Quarter 4	64.7	67.4	-2.7
Quarter 5	59.9	62.7	-2.8
Average Total AFDC Payments Received, Quarters 2-5 ($)	4873.97	5298.34	-424.37**
Average AFDC Payments Received ($)			
Quarter of Random Assignment	1263.87	1274.29	-10.42
Quarter 2	1418.75	1470.22	-51.48
Quarter 3	1191.54	1321.01	-129.47***
Quarter 4	1165.63	1279.25	-113.62**
Quarter 5	1098.05	1227.85	-129.80**
Sample Size	687	654	1341

NOTES: These data include zero values for sample members not employed and for sample members not receiving welfare. A two-tailed t-test was applied to differences between experimental and control groups. Statistical significance levels are indicated as: * = 10 percent; ** = 5 percent; *** = 1 percent.

$257 -- a 22 percent increase. Earnings gains appear to result more from changes in the percent employed than from higher wages or more hours worked among those employed.

For the full 12-month follow-up period, total welfare payments averaged $4,827 per control and $4,424 per experimental. This is a statistically significant welfare savings of $403 per experimental -- an 8 percent reduction in welfare payments. Reductions in grant payments increased through the fourth quarter and then leveled off.

It is also notable that beginning in quarter three, SWIM resulted in statistically significant reductions in the percent of experimentals who were still on the welfare rolls. By the final quarter of follow-up, 65.8 percent of experimentals were receiving welfare as compared to 72.4 percent of controls, yielding a statistically significant difference of 6.5 percentage points. In addition, experimentals received welfare for one-half month less than controls.

Both AFDC applicants (those who were in the process of applying for welfare at the time of random assignment) and recipients (those already receiving welfare at the time of random assignment) experienced employment, earnings and welfare impacts.

Based on results for an early-enrolling group of registrants, impacts for the AFDC group appear to continue through 18 months of follow-up.

- **For AFDC-U registrants, SWIM resulted in statistically significant employment gains as well as reductions in welfare payments. However, increases in earnings and reductions in the percent receiving welfare were, for the most part, not statistically significant.**

During the full nine-month follow-up period, 53.4 percent of the AFDC-U experimentals and 44 percent of the AFDC-U controls were employed at some point. (See Table 2.) This is a statistically significant increase of 9.3 percentage points or a 21 percent improvement. These employment gains were sustained throughout the follow-up period.

Experimentals had average earnings of $2,365 and controls had average earnings of $2,028 during the full follow-up period, for a statistically significant difference of $337. This is an earnings gain of 17 percent. Except for quarter three, the quarterly earnings impacts were not statistically significant.

During the 12-month follow-up period, total welfare payments averaged $5,298 for controls and $4,974 for experimentals, yielding a statistically significant reduction in welfare payments of $424. Welfare savings continued throughout the follow-up period. There were, however, no statistically significant reductions in the percent of AFDC-U experimentals receiving welfare during this period.

Among AFDC-U registrants, both applicants and recipients had employment gains and reductions in welfare payments. There were earnings gains among both groups, but these differences were not always statistically significant, partly due to small sample sizes.

An examination of 18 months of follow-up for an early-enrolling group of AFDC-U registrants indicated that both employment gains and welfare savings were sustained over this longer-period of time. There appear to be earnings increases in the later quarters as well.

- **Based on a preliminary investigation, it appears that for AFDC applicants the SWIM impacts are consistent with those reported for San Diego's earlier job-search/work experience demonstration. Among AFDC-U applicants, employment gains may be larger for SWIM than in the prior demonstration.**

Preliminary comparisons suggest that SWIM's short-term impacts on AFDC applicants are generally similar to the impacts for welfare applicants in San Diego's earlier job search/work experience program. There is some evidence that SWIM's short-term impacts on the AFDC-U applicants' employment gains may be larger than those observed for the earlier demonstration, although welfare impacts are consistent between the two programs. However, there are a number of factors other than the differences in the two program models -- such as the health of the economy, the characteristics of clients and the offices in which the programs were operated -- that should be considered when comparing these results.

* * *

A more complete picture of SWIM's effectiveness will be available in the final report, to be completed in 1989. It will contain substantially longer follow-up on employment and welfare receipt. It will also present information on the extent to which SWIM increased registrants' enrollment in education and training beyond what individuals would have done on their own. Finally, the report will examine program costs to determine whether they were offset by program benefits.

CONTENTS

PAGE

ACKNOWLEDGMENTS iii
PREFACE v
EXECUTIVE SUMMARY vii
LIST OF TABLES xxx
LIST OF FIGURES xxxiv
DEFINITION OF ACRONYMS xxxvi

CHAPTER

1 INTRODUCTION 1

2 RESEARCH DESIGN, SAMPLES AND DATA SOURCES 24

3 ADMINISTRATION AND STAFFING 50

4 THE NATURE OF PROGRAM SERVICES 70

5 OVERVIEW OF REGISTRANT FLOW THROUGH THE PROGRAM 97

6 OTHER PARTICIPATION ISSUES 127

7 MONTHLY PARTICIPATION RATES 143

8 IMPACTS ON EMPLOYMENT, EARNINGS AND WELFARE OUTCOMES .. 190

APPENDICES

A TECHNICAL APPENDIX: PROGRAM TRACKING DATA USED IN THE REPORT ... 224

B SUPPLEMENTAL TABLES TO CHAPTER 2 242

C SUPPLEMENTAL TABLES TO CHAPTER 5 250

D SUPPLEMENTAL TABLES TO CHAPTER 6 252

E SUPPLEMENTAL TABLES TO CHAPTER 7 260

F SUPPLEMENTAL TABLES TO CHAPTER 8 264

FOOTNOTES 278
REFERENCES 299
LIST OF MDRC STUDIES IN THE WORK/WELFARE DEMONSTRATION ... 300

33

LIST OF TABLES

TABLE PAGE

1 SWIM AFDC SAMPLE: SHORT-TERM IMPACTS ON EMPLOYMENT, EARNINGS, WELFARE RECEIPT, AND WELFARE PAYMENTS xxiv

2 SWIM AFDC-U SAMPLE: SHORT-TERM IMPACTS ON EMPLOYMENT, EARNINGS, WELFARE RECEIPT, AND WELFARE PAYMENTS xxv

1.1 DESIGN FOR THE EVALUATION OF SWIM 18

2.1 SUMMARY OF KEY PROGRAM ACTIVITIES 25

2.2 PRIMARY RESEARCH SAMPLES FOR THE PROCESS AND IMPACT STUDIES 30

2.3 SELECTED CHARACTERISTICS OF REGISTRANTS AT THE TIME OF INITIAL REGISTRATION, BY ASSISTANCE CATEGORY 32

2.4 SELECTED CHARACTERISTICS OF REGISTRANTS AT THE TIME OF INITIAL REGISTRATION, BY ASSISTANCE CATEGORY AND WELFARE STATUS 39

2.5 LENGTH OF AVAILABLE FOLLOW-UP BY DATA SOURCE AND PERIOD OF INITIAL REGISTRATION 47

3.1 PERCENTAGE DISTRIBUTION OF ALL NON-SUPERVISORY AND NON-ADMINISTRATIVE STAFF TIME SPENT ON SWIM TASKS, BY TASK, AGENCY, AND TYPE OF STAFF 54

4.1 SUMMARY OF ALLOWANCES AND SUPPORT SERVICES, BY TYPE OF SERVICE AND COMPONENT 93

5.1 SUMMARY OF PARTICIPATION MEASURES USED IN THE SWIM REPORT 98

5.2 TWELVE-MONTH ACTIVITY MEASURES FOR SWIM-ELIGIBLES, BY ASSISTANCE CATEGORY 102

5.3 TWELVE-MONTH ACTIVITY MEASURES FOR SWIM-ELIGIBLES, BY ASSISTANCE CATEGORY AND WELFARE STATUS 109

5.4 PERCENTAGE DISTRIBUTION OF SWIM-ELIGIBLES BY ASSISTANCE CATEGORY AND PARTICIPATION IN A FIRST OR SECOND ACTIVITY WITHIN TWELVE MONTHS FOLLOWING INITIAL REGISTRATION 113

5.5 PERCENTAGE DISTRIBUTION OF CHILDCARE ARRANGEMENTS FOR AFDC PARTICIPANTS, BY PROVIDER AND LOCATION 121

5.6 PERCENTAGE DISTRIBUTION OF CHILDCARE ARRANGEMENTS OF AFDC PARTICIPANTS' YOUNGEST CHILD, BY PROVIDER AND LOCATION, AND BY REVIEW MONTH 124

5.7 PERCENTAGE DISTRIBUTION OF CHILDCARE ARRANGEMENTS OF AFDC PARTICIPANTS, BY PROVIDER OF CHILDCARE AND CHILD'S AGE 125

6.1 PERCENTAGE DISTRIBUTION OF SWIM-ELIGIBLES, BY PARTICIPATION STATUS AND NUMBER OF MONTHS REGISTERED FOR SWIM DURING THE TWELVE MONTHS FOLLOWING INITIAL REGISTRATION 129

6.2 PERCENTAGE DISTRIBUTION OF SWIM-ELIGIBLES, BY PERCENT OF MONTHS ACTIVE OUT OF MONTHS REGISTERED, AND BY ASSISTANCE CATEGORY 131

6.3 KEY NONCOMPLIANCE INDICATORS FOR SWIM-ELIGIBLES, BY ASSISTANCE CATEGORY 135

6.4 PERCENT OF NONCOMPLIANT SWIM-ELIGIBLES, BY TYPE OF NONCOMPLIANCE AND ASSISTANCE CATEGORY 136

7.1 NUMBER OF REGISTRANTS ELIGIBLE FOR SWIM SERVICES, BY MONTH AND ASSISTANCE CATEGORY 150

7.2 PERCENTAGE DISTRIBUTION OF INDIVIDUALS REGISTERED WITH SWIM AS OF EACH MONTH, BY NUMBER OF MONTHS REGISTERED WITH THE PROGRAM PRIOR TO EACH MONTH 154

7.3 SELECTED CHARACTERISTICS OF SWIM-ELIGIBLES AT THE TIME OF INITIAL SWIM REGISTRATION, BY PARTICIPATION STATUS IN JULY AND NOVEMBER, 1986 175

7.4 PERCENTAGE DISTRIBUTION OF REGISTRANTS' REASONS FOR NON-PARTICIPATION, BY EXPECTED PARTICIPATION STATUS 180

7.5 PERCENTAGE DISTRIBUTION OF SWIM-ELIGIBLES, BY PARTCIPATION STATUS AND RELATED ACTIVITIES OR STATUSES IN JULY AND NOVEMBER, 1986 185

7.6 ALTERNATIVE ACTIVITY MEASURES FOR JULY AND NOVEMBER, 1986 187

8.1 ALL AFDC: SHORT-TERM IMPACTS ON EMPLOYMENT, EARNINGS, WELFARE RECEIPT, AND WELFARE PAYMENTS 194

8.2 ALL AFDC: SHORT-TERM IMPACTS ON DISTRIBUTION OF EARNINGS, EARNINGS/WELFARE MIX, AND MEASURED INCOME IN QUARTER FOUR 200

8.3 AFDC APPLICANTS AND RECIPIENTS: SHORT-TERM IMPACTS ON EMPLOYMENT, EARNINGS, WELFARE RECEIPT, AND WELFARE PAYMENTS 204

8.4 AFDC EARLIER COHORT: LONGER-TERM IMPACTS ON EMPLOYMENT, EARNINGS, WELFARE RECEIPT, AND WELFARE PAYMENTS 208

8.5 ALL AFDC-U: SHORT-TERM IMPACTS ON EMPLOYMENT, EARNINGS, WELFARE RECEIPT, AND WELFARE PAYMENTS 211

8.6 ALL AFDC-U: SHORT-TERM IMPACTS ON DISTRIBUTION OF EARNINGS, EARNINGS/WELFARE MIX, AND MEASURED INCOME IN QUARTER FOUR 215

8.7 AFDC-U APPLICANTS AND RECIPIENTS: SHORT-TERM IMPACTS ON EMPLOYMENT, EARNINGS, WELFARE RECEIPT, AND WELFARE PAYMENTS 216

8.8 AFDC-U EARLIER COHORT: LONGER-TERM IMPACTS ON EMPLOYMENT, EARNINGS, WELFARE RECEIPT, AND WELFARE PAYMENTS 219

A.1 SUMMARY STATISTICS FROM QUALITY CHECK OF DATA FOUND IN THE SWIM AUTOMATED TRACKING SYSTEM 233

B.1 SELECTED CHARACTERISTICS OF REGISTRANTS AT THE TIME OF INITIAL REGISTRATION, BY ASSISTANCE CATEGORY AND RESEARCH GROUP 242

B.2 SELECTED CHARACTERISTICS OF REGISTRANTS AT THE TIME OF INITIAL REGISTRATION, BY ASSISTANCE CATEGORY AND PERIOD OF INITIAL REGISTRATION 244

B.3 SELECTED CHARACTERISTICS OF SWIM-ELIGIBLES AT THE TIME OF INITIAL REGISTRATION, BY ASSISTANCE CATEGORY AND YEAR OF INITIAL REGISTRATION 246

C.1 TWELVE- AND EIGHTEEN-MONTH ACTIVITY MEASURES FOR SWIM-ELIGIBLES, BY ASSISTANCE CATEGORY 250

D.1 PERCENTAGE DISTRIBUTION OF SWIM-ELIGIBLES, BY NUMBER OF MONTHS ACTIVE OUT OF MONTHS REGISTERED DURING THE TWELVE MONTHS FOLLOWING INITIAL REGISTRATION 252

D.2 PERCENT OF NONCOMPLIANT SWIM-ELIGIBLES RECEIVING FOLLOW-UP CONTACT, BY METHODO OF FOLLOW-UP AND ASSISTANCE CATEGORY 254

D.3 PERCENTAGE DISTRIBUTION OF AFDC SWIM-ELIGIBLES, BY WELFARE, PROGRAM, EMPLOYMENT, AND PARTICIPATION STATUS BY THE TWELFTH MONTH FOLLOWING INITIAL REGISTRATION 255

D.4 PERCENTAGE DISTRIBUTION OF AFDC-U SWIM-ELIGIBLES, BY WELFARE, PROGRAM, EMPLOYMENT, AND PARTICIPATION STATUS BY THE TWELFTH MONTH FOLLOWING INITIAL REGISTRATION 257

E.1 PERCENT OF INDIVIDUALS ELIGIBLE FOR SWIM IN JULY OR NOVEMBER, 1986, WHO PARTICIPATED IN PROGRAM ACTIVITIES, BY TYPE OF ACTIVITY AND ASSISTANCE CATEGORY 260

F.1 AFDC: ESTIMATED REGRESSION COEFFICIENTS FOR EMPLOYMENT AND WELFARE MEASURES IN QUARTER FOUR 264

F.2 AFDC: EARNINGS AMONG EMPLOYED EXPERIMENTALS AND CONTROLS 267

F.3 AFDC: SHORT-TERM IMPACTS ON MEASURED INCOME 268

F.4 AFDC EARLIER AND LATER COHORTS: SHORT-TERM IMPACTS ON EMPLOYMENT, EARNINGS, WELFARE RECEIPT, AND WELFARE PAYMENTS 269

F.5 AFDC-U: ESTIMATED REGRESSION COEFFICIENTS FOR EMPLOYMENT AND WELFARE MEASURES IN QUARTER FOUR 271

F.6 AFDC-U: SHORT-TERM IMPACTS ON MEASURED INCOME 274

F.7 AFDC-U EARLIER AND LATER COHORTS: SHORT-TERM IMPACTS ON EMPLOYMENT, EARNINGS, WELFARE RECEIPT, AND WELFARE PAYMENTS 275

LIST OF FIGURES

FIGURE PAGE

1 PERCENT OF INDIVIDUALS ELIGIBLE FOR SWIM DURING EACH MONTH WHO PARTICIPATED IN PROGRAM-ARRANGED ACTIVITIES, SELF-INITIATIVED ACTIVITIES OR EMPLOYMENT, BY TYPE OF ACTIVITY xix

2.1 FLOW OF REGISTRANTS THROUGH SWIM 27

3.1 ORGANIZATIONS, STAFF, AND SERVICES IN THE SWIM DELIVERY SYSTEM 51

5.1 ILLUSTRATION OF TIME PERIODS COVERED BY TWELVE-MONTH LONGITUDINAL ACTIVITY MEASURES USING TEN HYPOTHETICAL SAMPLE MEMBERS 100

6.1 FLOW OF SWIM-ELIGIBLES THROUGH THE NONCOMPLIANCE AND AJUDICATION PROCESS 134

7.1 ILLUSTRATION OF TIME PERIODS COVERED BY MONTHLY PARTICIPATION RATES USING TEN HYPOTHETICAL SAMPLE MEMBERS 145

7.2 PERCENT OF INDIVIDUALS ELIGIBLE FOR SWIM DURING EACH MONTH WHO PARTICIPATED IN PROGRAM-ARRANGED ACTIVITIES, SELF-INITIATED ACTIVITIES OR EMPLOYMENT, BY TYPE OF ACTIVITY 156

7.3 PERCENT OF INDIVIDUALS ELIGIBLE FOR SWIM DURING EACH MONTH WHO PARTICIPATED IN PROGRAM-ARRANGED ACTIVITIES, BY TYPE OF ACTIVITY 159

7.4 NUMBER OF INDIVIDUALS ELIGIBLE FOR SWIM AND NUMBER OF INDIVIDUALS PARTICIPATING IN SWIM, DURING EACH MONTH 163

7.5 PERCENT OF INDIVIDUALS ELIGIBLE FOR SWIM DURING EACH MONTH WHO PARTICIPATED IN PROGRAM-ARRANGED ACTIVITIES, SELF-INITIATED ACTIVITIES OR EMPLOYMENT, BY ASSISTANCE CATEGORY AND TYPE OF ACTIVITY 164

7.6 ILLUSTRATION OF TIME PERIOD COVERED BY A MONTHLY PARTICIPATION RATE FOR NOVEMBER 1986 USING TEN HYPOTHETICAL SAMPLE MEMBERS 166

7.7 PERCENT OF INDIVIDUALS ELIGIBLE FOR SWIM DURING EACH MONTH WHO PARTICIPATED IN ANY ACTIVITY, USING DIFFERENT ELIGIBILITY CRITERIA 168

7.8 PERCENT OF INDIVIDUALS ELIGIBLE FOR SWIM DURING EACH QUARTER OR MONTH WHO PARTICIPATED IN ANY ACTIVITY 172

8.1 AFDC: SHORT-TERM IMPACTS ON EMPLOYMENT AND EARNINGS 196

8.2 AFDC: SHORT-TERM IMPACTS ON AFDC RECEIPT AND PAYMENTS 199

8.3 AFDC-U: SHORT-TERM IMPACTS ON EMPLOYMENT AND EARNINGS 212

8.4 AFDC-U: SHORT-TERM IMPACTS ON AFDC RECEIPT AND PAYMENTS 214

A.1 SWIM CLIENT TRACKING DOCUMENT 226

DEFINITIONS OF ACRONYMS

ABE	Adult Basic Education
AFDC	Aid to Families with Dependent Children -- Family Group
AFDC-U	Aid to Families with Dependent Children -- Unemployed Parent
CRU	Coordination and Referral Unit
CWEP	Community Work Experience Program
DEFRA	Deficit Reduction Act of 1984
DSS	Department of Social Services
EDD	Employment Development Department
EOPP	Employment Opportunity Pilot Project
EPP	Employment Preparation Program
ESL	English-As-A-Second Language
ESP	Employment Services Program
ET	Employment and Training Choices Program in Massachusetts
EWEP	Employment Work Experience Program
GAIN	California's Greater Avenues for Independence Program
GED	General Educational Development
IM	Income Maintenance
ISESA	Individualized Supervised Employment Search Activity
JDC	Job Developer Counselors
JDU	Job Development Unit
JSAP	Job Search Assistance Project
MDRC	Manpower Demonstration Research Corporation
OBRA	Omnibus Budget Reconciliation Act
OJT	On-The-Job Training
REACH	Realizing Economic Achievement Program in New Jersey
SSA	Social Security Administration
STAR	Skills Techniques Achievement Reviews
SWIM	Saturation Work Initiative Model
WIN	Work Incentive Program
YMCA	Young Men's Christian Association

INTERIM REPORT
ON THE
SATURATION WORK INITIATIVE MODEL
IN SAN DIEGO

CHAPTER 1

INTRODUCTION

From July 1985 through June 1987, the County of San Diego in California operated the Saturation Work Initiative Model (SWIM) as part of the Social Security Administration's (SSA) two-site Demonstration of Saturation Work Programs in an Urban Area.[1] The other SSA demonstration site was Philadelphia, Pennsylvania.

The SSA demonstration, directed towards individuals applying for or receiving benefits under the Aid to Families with Dependent Children (AFDC) program, was intended to test the feasibility of having at least three-quarters of program-eligibles active in a welfare employment program at all times. In addition, the demonstration was intended to measure the effectiveness of such a program in terms of program-eligibles' future employment and welfare receipt.

The program model developed by the San Diego County Welfare Department and the State Department of Social Services included a variety of activities: job search programs, which taught individuals how to find and obtain unsubsidized jobs; the Employment Work Experience Program (EWEP), in which welfare recipients were required to work in public or nonprofit agencies in exchange for their welfare benefits; and referrals to community education and training programs.

The program operated in two of the seven welfare employment offices in San Diego County, constituting about 40 percent of the county's caseload. Program eligibles included both single-parent AFDC family heads (primarily mothers) and heads of two-parent families (primarily fathers) in the Unemployed Parent (AFDC-U) category.[2] Participation in SWIM activities was required, on an ongoing basis, of all WIN-mandatory AFDC and AFDC-U applicants and recipients. The head of an AFDC-U household is automatically WIN-mandatory; most AFDC heads of household whose youngest child is at least six years old are considered WIN-mandatory.[3]

The Manpower Demonstration Research Corporation (MDRC) has been evaluating SWIM under a contract from the California Department of Social Services. This report, the first of two on the SWIM demonstration, examines the feasibility of continuously serving a large proportion of WIN-mandatory individuals in a mandatory, fixed-sequence, multi-component program. Different ways of measuring participation, the factors that affected participation levels, and preliminary program impacts are also presented. A final report, scheduled for completion in 1989, will examine longer-term impacts and compare the program's benefits with its costs.

In comparison to previous welfare employment programs evaluated by MDRC, several features of SWIM are especially distinctive. First, the SSA demonstration was an attempt to set realistic benchmarks concerning the definition of "most people participating." This objective grew out of increasing interest in making welfare receipt more conditional on participation in employment-enhancing activities than had typically been the case. SWIM was intended not only to test whether the arbitrarily set benchmark of 75 percent was achievable, but to define the feasible upper bounds of a participation (or "saturation") standard. To facilitate this feasibility test, SSA provided demonstration funding to augment the county's regular WIN monies and state Employment Preparation Program (EPP) monies. Although previous welfare employment programs encompassed the entire WIN-mandatory caseload in specific areas, rarely did they have either a clear saturation objective or funding above regular WIN funding levels.

Second, one of the objectives of SWIM was to require continuous participation of registrants in program activities for as long as these individuals remained on welfare. Most other welfare initiatives have had program requirements of a limited duration or, if the program model specified ongoing participation, requirements that were de facto short term.

Third, similar to some recent state welfare policy initiatives, SWIM referred individuals to more intensive services than those generally offered by welfare employment programs. Specifically, SWIM sought to encourage the participation of welfare recipients in education and training programs through referrals (not involving any additional funding) to public and nonprofit community organizations and schools. The SWIM evaluation examines procedures used to set up such linkages and the participation patterns in such linked programs.

The rest of this chapter sets the context for understanding the results of the SWIM evaluation and highlights the background factors that suggest caution in generalizing the results. The first and second sections briefly discuss attempts to encourage participation in welfare employment programs on the national level, as well as welfare initiatives in the State of California and San Diego County. The third section reviews the development and distinctive features of the SWIM program model. The fourth section describes the program setting. The final section summarizes the salient features of MDRC's evaluation design.

I. Participation in Previous Welfare Employment Programs

The federal Work Incentive (WIN) program, created in 1967, was intended to provide skills assessment, job training, placement and support services to help AFDC recipients become self-supporting. Originally introduced as a voluntary program, WIN became mandatory in 1971; that is, in order to receive AFDC benefits, all adult recipients without preschool children or specific problems that kept them at home had to register with the state employment service, participate in available job training or job search activities, and accept employment offers.

Despite these provisions, a relatively small share of mandatory registrants received employment and training services. The program's inability to enforce its participation requirement is generally attributed to two factors -- inadequate funding to operate sufficient activities for the caseload of mandatory registrants and the discretion allowed program operators to grant exemptions and deferrals. Federal restrictions also limited state and local agencies' ability to modify WIN's program regulations.

Since WIN's establishment, many state and local agencies have experimented with different employment and training approaches for welfare recipients. These typically have required additional funding and/or waivers of WIN regulations from the federal government. In the 1970s, these programs reached varying proportions of the AFDC caseload, but generally had modest rates of participation.[4]

Passage of the Omnibus Budget Reconciliation Act (OBRA) in 1981 marked an important milestone in the development of welfare employment policy. OBRA and related legislation permitted the states -- as part of their regular WIN programs -- to require applicants for AFDC and AFDC-U to participate in job search assistance and recipients to take Community Work Experience Program (CWEP) assignments as a condition of receiving welfare benefits. (Recipients had been subject to job search and other requirements prior to OBRA.) In addition, the WIN Demonstration provisions increased states' flexibility in designing and managing their WIN programs. This included administration by a single agency instead of the previous dual agency structure, under which state employment agencies were responsible for training and employment and state welfare departments provided support services.

More than half the states have responded to the OBRA flexibility and established programs -- usually in selected areas rather than statewide -- that require welfare recipients to participate in job search and/or work experience activities.[5] MDRC's Demonstration of State Work/Welfare Initiatives examined the effectiveness of post-OBRA programs in eight states. In most of the states studied, participation rates were above those achieved in previous special demonstrations or in the WIN program.[6] Typically, within six to nine months of registering with the new program, about half of the AFDC group had taken part in some activity for at least one day, and substantial additional numbers had left the welfare rolls and the program. The programs generally led to modest increases in employment that in some cases were associated with welfare savings. The impacts were usually large enough to offset the programs' costs, though not for every target group in every state.

Most of the programs studied, unlike SWIM, had participation requirements that were of a short-term nature, in practice if not by design. By far the major activity was job search, a relatively short (usually no more than two to three weeks) and inexpensive intervention. Education and training activities were limited. And work experience, when required, was almost always a short-term obligation, usually lasting no more than 13 weeks.

One exception to this pattern was West Virginia. In 1982, this state established a statewide unpaid work experience program (which is still operating, primarily as a work experience program) with an ongoing participation requirement -- a straightforward work program, in which the assignment lasts as long as the recipient receives welfare. The state successfully imposed the requirement for the heads of two-parent (AFDC-U) households, but did not impose it rigorously for single parents. In a demonstration effort designed to saturate the AFDC-U caseload, the program achieved participation rates of between 59 and 69 percent of the AFDC-U caseload on a monthly basis.[7] Recently, other states have begun implementing programs designed to emphasize more intensive services or requirements (including education and training), and to complement these with extensive childcare services.[8] SWIM represents one program variation of introducing comprehensive services and/or longer participation obligations.

II. Welfare Initiatives in the State of California and San Diego County

California was involved in several welfare employment initiatives prior to the 1980s. Between 1972 and 1975, California operated a work experience demonstration for AFDC recipients as part of the California

Welfare Reform Act. Under this demonstration, the state's Employment Development Department (EDD) was directed to create work positions in public agencies for all mandatory WIN registrants who were not assigned to other activities. However, implementation was hampered by limited funding and legal challenges; during 1974 the program placed less than 3 percent of eligible registrants in program work positions.

After the 1974 elections and a subsequent change in administration, the California legislature repealed the state's authority to test community work experience for the welfare population and substituted a new set of employment and training services which focused on job clubs. Consequently, EDD and the Department of Social Services (DSS) developed the Job Search Assistance Project (JSAP) -- a demonstration implemented in 1979 to offer welfare applicants both group and individual job search training, and some skills training.

Toward the end of 1979, JSAP was expanded in the form of a bill seeking to distinguish between "employable" and "nonemployable" welfare recipients and calling for early intervention to prevent employable persons from becoming long-term recipients. The primary service was to be group job search, as used in JSAP, with the promise of training for those who did not find work through job search.[9] In 1980, the California legislature authorized the Employment Preparation Program (EPP) which was initially implemented on a demonstration basis in three counties: Lake, San Mateo and Ventura. After the 1981 passage of OBRA, the California legislature continued to emphasize job search assistance approaches and to reject statewide work experience proposals.

A program that did involve work experience was developed in San Diego, however. This was a test of EPP job search followed by community work experience (called the Experimental Work Experience Program, or EWEP) for those who failed to find jobs through group job search workshops.[10] San Diego County's interest in work programs was based on several factors. First, the AFDC-U and, particularly, the AFDC caseloads had grown steadily over the last decade. Second, the county had already experimented with workfare programs for recipients of other income transfer programs: General Relief and Food Stamps. Third, the county perceived that there was strong public support for a work-for-benefits approach and also considered itself a leader on issues of welfare reform.

In designing the program, San Diego County officials specified two main objectives: developing the work skills of welfare recipients, and reducing the rolls and costs of welfare. In pursuit of these objectives, the program was structured as a sequential program with four stages. The first stage was job placement assistance, provided on the day of welfare application. Following this, people were referred to a three-week group job search program, where they went through the second and third stages. During the first week, they participated in workshops designed to build self-confidence and job-seeking skills. In the following two weeks, applicants were involved in self-directed job search, using telephone banks to call prospective employers. Individuals who had not found employment by the end of the workshop were then referred to EWEP; this was the fourth stage, in which they were required to hold positions in public or nonprofit agencies for up to 13 weeks.[11]

The San Diego initiative began by giving priority to new WIN-mandatory applicants for the AFDC-U program (primarily males). The target population was later expanded to include applicants for AFDC (primarily females).

To fund the project, the county became part of the state's existing three-county EPP demonstration of job search and obtained separate legislative authority to operate a community work experience program through a federal demonstration project. Administrative and operational responsibility for the EPP job search program was assumed by EDD staff, while county DSS staff administered and operated EWEP. With a clear mandate to curb welfare caseloads and costs by improving the unsubsidized employment of applicants to welfare, the project began operations in August 1982. The EPP job search workshops began immediately; EWEP operations started up in November 1982.

MDRC evaluated the effectiveness of two program sequences: job search alone (the first three stages) and job search followed by EWEP. The results indicated that the program successfully implemented its short-term participation requirement. Approximately 55 percent of AFDC and 60 percent of AFDC-U registrants participated in some activity within nine months of application.[12] As would be expected in a sequential program, among registrants eligible for both job search and work experience, more participated in the former than the latter (about 55 percent versus 17 percent).

As intended, EPP/EWEP staff rigorously enforced a mandatory participation requirement. Program staff succeeded in working with all but a small proportion of program-eligible individuals. By nine months after application for welfare, over 90 percent of the research sample had either fulfilled program requirements, found jobs, been deregistered from the program (because they were no longer WIN-mandatory or had been sanctioned for not cooperating with the program) or had left the welfare rolls.

Among AFDC applicants, the job search/EWEP sequence, although not job search alone, led to increases in employment and earnings and modest welfare savings. Among AFDC-U applicants, there were no statistically significant impacts on employment and earnings, but substantial reductions in welfare payments under both program sequences.

From the perspective of government budgets, operating costs were offset by benefits (in terms of reduced welfare and MediCal payments, increased taxes and other budget gains) for AFDC and AFDC-U registrants in both program sequences. From the perspective of the welfare applicants, the results were not as consistent. For the AFDC applicants assigned to job search and EWEP, there were clear financial gains; for the AFDC-U applicants in both program sequences, there were overall losses.[13]

Encouraged by preliminary MDRC research findings similar to those described above, the county continued to operate the EPP/EWEP program for applicants in all areas of San Diego until 1985. EPP continued to operate in selected counties (6 as of 1985) throughout the rest of the state as well.

During 1985, several welfare policy changes occurred in California. First, the state became part of the national WIN Demonstration Program. This transition, which occurred in July 1985, changed the institutional arrangements for delivering employment and training services, and allowed greater flexibility in how these services were combined.[14]

Second, the Greater Avenues for Independence (GAIN) program, a major new welfare employment initiative, was passed by the legislature. The GAIN legislation was developed over a period of five months by a coalition of liberals and conservatives and passed by the state legislature in late

1985. Counties were given up to three years to design their GAIN programs.

Also in 1985, independent of the above two developments, San Diego's EPP/EWEP model changed into SWIM. As noted, SWIM was part of SSA's Demonstration of Saturation Work Programs in an Urban Area, and operated in the two most urban welfare administrative areas of San Diego county. The other five welfare administrative areas in the county continued to operate EPP/EWEP until 1987, at which time San Diego implemented the GAIN program countywide.[15]

The SWIM program began operations in July 1985, after a year of planning.[16] In response to SSA's June 1984 announcement of a saturation demonstration grant, the California Department of Social Services and the County of San Diego Department of Social Services submitted a proposal for SWIM, noting that of the fifteen qualifying urban counties in the state, San Diego was the only county that had the requisite experience in operating employment programs to be able to undertake a saturation work program on a large scale within a reasonable timeframe. In September 1984, SSA chose San Diego County as one of the saturation demonstration sites.

According to San Diego County officials, the county had several objectives in applying for the saturation demonstration grant. First, the county viewed the demonstration grant as an opportunity to obtain general funding for their welfare employment programs in the face of declining WIN monies and an anticipated decline in EWEP funding.

Second, the grant would allow the county to emphasize education and training to a greater extent than was possible in EPP/EWEP. The county viewed the demonstration grant as an opportunity to obtain funding for the number of staff deemed necessary to add this type of component to the

EPP/EWEP model.

Third, early results from the EPP/EWEP evaluation had indicated that the program was effective in increasing the employment levels of WIN-mandatory applicants and decreasing welfare costs. County officials viewed the demonstration grant as a means of funding an evaluation to determine the relative effectiveness of requiring participation of the entire WIN-mandatory caseload as opposed to only applicants.

III. The SWIM Program Model and Funding Resources

The SWIM program model built upon the county's previous experience with welfare employment programs in several ways. First, as noted above, SWIM extended the EPP/EWEP model to recipients as well as applicants, thus targeting the program on the entire WIN-mandatory caseload. In their grant proposal to SSA, the county noted the existence of a pool of more than 13,000 medium- and long-term AFDC recipients who had received very limited services through the current programs.

Second, SWIM replaced the EPP/EWEP short-term participation requirement with a continuous participation requirement that was to last as long as an individual remained registered with WIN. To accomplish this, the county added several components to the EPP/EWEP sequence. These components -- which were available to registrants who completed job search workshops and EWEP without finding a job -- included Adult Basic Education, General Educational Development (GED) test preparation, English as a Second Language (ESL) programs, skills training, on-the-job training and additional job search activities. It is important to note that the program itself did not operate or fund education or training activities. Rather, staff referred program registrants to already existing community programs.

Third, SWIM added a new set of staff, known as the Coordination and Referral Unit (CRU), to the EPP/EWEP staff configuration. The CRU staff had primary responsibility for monitoring participants' progress and continuously assessing participants' needs for employment service intervention. Assessments occurred most commonly once a registrant had completed the job search workshop/EWEP sequence.

Fourth, biweekly job clubs, which often operated concurrently with EWEP, were established. Two-hour job search workshops, held once a week for a period of 13 weeks, were also added to the model. Registrants could be referred to this latter component, known as ISESA (Individualized Supervised Employment Search Activity), after completion of the job club component and/or EWEP.

Several other program changes were made as conditions of a state legislative waiver which allowed the county to continue to operate EWEP from July 1985 through June 1987. Sanctioning rules for AFDC-U registrants who were noncompliant in EWEP were made less punitive. Only the head of the case lost AFDC benefits when a sanction was in connection with EWEP requirements.[17] The EWEP work hours obligation, which had previously been computed by dividing the registrant's AFDC grant by the federal minimum wage, was changed to use prevailing wage rates rather than federal minimum wage rates.[18] Finally, additional conciliation -- counseling of registrants and "second" chances -- was required prior to the application of an EWEP sanction.

GAIN and SWIM are similar in that both programs have multicomponent models and involve a continuous participation requirement. However, GAIN differs from SWIM and from other past welfare initiatives in several important respects. These differences should be kept in mind when interpreting the SWIM findings.

First, and probably most important, GAIN mandates remedial education, early in the model, for those who fail a diagnostic test or lack a high school diploma or GED. Second, GAIN moves away from one prescribed sequence of program activities to the prescription of various sequences determined by registrant characteristics. Third, GAIN uses a registrant contract to provide some registrant choice regarding services, to ensure the provision of program services, and to emphasize the registrant's obligation to participate. Fourth, GAIN provides payments to community education and training agencies who serve GAIN registrants. Lastly, although SWIM could provide some support monies to registrants, GAIN can provide substantially more. In particular, childcare monies are available to individuals participating in self-initiated activities and, for a short time, to those who find jobs while in the program.

GAIN is intended to operate on a much wider scale than SWIM. Because SWIM operated in only two welfare administrative areas instead of county-wide (and placed education and training at a later point in the program model), it did not test the capability or capacity of community organizations to absorb large numbers of welfare recipients into their programs.

It is important to note that as a federal demonstration site, San Diego received special demonstration funding -- 95 percent paid by SSA and 5 percent paid by the State Department of Social Services. The non-research portion of these funds, which was provided in addition both to regular WIN and to special EPP funding in the county, amounted to approximately $1,700,000 over a three-year period.[19] In addition, the program depended on community resources to provide education and training services and did not fund these.

These resources covered the approximately 9,200 individuals who registered with the program and were eligible for program services (i.e. they were not assigned to the control group) in the 27 months that SWIM operated.

IV. Program Setting

As explained in the previous section, San Diego was an unusual setting in which to test the feasibility of operating a multi-component saturation program with an ongoing participation requirement. Its welfare department had extensive experience operating welfare employment programs before initiating SWIM. This experience included coordination among numerous agencies outside the welfare department and staffing units within the department. Several other aspects of the program setting were also important.

With a 1986 population of 2,166,200, San Diego County is the second most populous county in the State of California.[20] The City of San Diego (population 1,002,900 in 1986) is the second largest city in the state and the eighth largest city in the country. Located next to the Mexican border, the county has a high proportion -- 18 percent -- of non-English speaking residents. Less than 7 percent of the residents live in rural areas. In comparison to other California counties, a high proportion -- 78 percent -- of the population are high school graduates. Eleven percent of the population lives in poverty.

The county has an extensive network of educational facilities. In addition to one university and one college of the state's public higher education system, the county has five community college districts. Most SWIM registrants lived within the jurisdiction of the largest of these, the San Diego Community College district. The county also has eight different adult school districts. Unlike the usual situation in the county, most of the adult schools in the SWIM areas are under the purview of the local community college district, i.e. the San Diego Community College district.

The availability of extensive education and training opportunities in the county increased the likelihood that registrants could, on their own, enroll in these community programs. In fact, according to information gathered at initial program registration, approximately 15 percent of the SWIM AFDC registrants and 10 percent of the AFDC-U registrants were in these types of programs as of program entry.[21] The existence of this network of education and training programs also facilitated the placement of registrants in these activities by the SWIM program.

During the period when SWIM was operating, the local economy was relatively healthy. Unemployment rates in the county were 6.5 percent in 1984; 5.3 percent in 1985; 5.0 percent in 1986; and 4.3 percent in May 1987 -- all below the prevailing rates for the State of California and the country as a whole.[22] The county's economic base contains a wide variety of industries, including services (25 percent), wholesale and retail trade (23 percent), government (18 percent) and manufacturing (15 percent).

AFDC grant levels in California are relatively generous, ranking tenth highest in the nation in 1986. At the start of the SWIM program, a family of three with no other income was eligible for $587 per month. This was increased to $617 in July 1986 and $633 in July 1987.

Welfare recipients can combine work and welfare if they meet eligibility tests for AFDC and have earnings that do not exceed a state's payment standard or grant level after allowable deductions.[23] The healthy economy and high AFDC grant levels in San Diego enabled many registrants to combine unsubsidized employment with receipt of welfare.

SWIM operated in the county's two most urban EPP administrative areas, representing a population base of approximately 487,000 individuals, containing approximately 40 percent of the county's welfare caseload and encompassing subareas with heavy concentrations of low-income individuals. Data on the characteristics of applicants in the two offices that operated SWIM compared with those of applicants in the other five county offices are available for 1982-1983 from MDRC's evaluation of the EPP/EWEP program. Applicants in these two offices, compared to the other applicants, were more likely to be black or Hispanic; were less likely to have a high school diploma or GED; had slightly longer welfare histories; and were less likely to have been employed in the year prior to application. These differences were more evident among the AFDC applicants than the AFDC-U applicants.

V. Evaluation Design: An Overview

MDRC's evaluation of SWIM comprises three parts: process or implementation, impact and benefit-cost analyses. Table 1.1 shows the key questions, methodology and data sources associated with each. This report presents process and preliminary impact findings; the final report will present longer-term impacts and benefit-cost results.

TABLE 1.1

DESIGN FOR THE EVALUATION OF SWIM

Research Component and Questions	Methodology	Data Sources
PROCESS ANALYSIS		
Within a set period of time from program registration, what patterns of program participation existed and what factors explain observed differences? Did participation rates vary for different subgroups of the population?	Analysis of patterns of program assignment, participation, and deregistration	Program administrative records, including status, outcome, and participation data
Was participation mandatory and did individuals participate on an ongoing basis?	Study of the interaction between participation patterns and program design, institutional arrangements, administrative practices, and other conditions	Systematic observation, case file studies, interviews with program staff, program administrative records
In any month, what percent of those eligible for the program were participating?	Analysis of patterns of program registration, participation and deregistration	Program administrative records, including status, outcome and participation data
What is the content and administrative structure of the demonstration program?	Study of program components and staff decision-making	Systematic observation, interviews with program staff, program administrative records
IMPACT ANALYSIS		
Did SWIM result in an increase in employment and earnings and/or a reduction in welfare dependency and benefits? Did impacts vary for AFDC and AFDC-U registrants or for other subgroups?	Comparison of the employment and welfare outcomes over time for AFDC and AFDC-U applicants and recipients randomly assigned to the experimental treatment or to a control group receiving no program services	Uniform client characteristics collected at sample entry AFDC payment files, Unemployment Insurance earnings files Program administrative records

(continued)

TABLE 1.1 (continued)

Research Component and Questions	Methodology	Data Sources
BENEFIT-COST ANALYSIS		
Did SWIM lead to an increase or decrease in direct budget expenditures?	Estimation of the increment or decrement of operating costs (including administrative costs and payments to institutions and to participants for work-related expenses) for experimentals compared to the control group	State and local budgets, data on special payments and studies of staff time allocation
Did SWIM make the experimental group better off financially?	Estimation of the net present value of SWIM by comparing additional costs and benefits	Cost data, program administrative records, impact estimates, and value of output estimates from interviews with work experience supervisors

A. The Process Analysis

The process analysis examines the operation of SWIM and identifies the factors that facilitated or constrained implementation. The analysis has three main parts. The first describes the content and operations of the program, highlighting its major activities and administrative procedures. The second part analyzes the movement of registrants through the program, examining participation patterns for groups of registrants throughout a uniform follow-up period -- 12 months after registration.

A third part of the analysis examines participation by providing "snap-shots" of program operations at set points in time. One type of snap-shot, for example, can show program operations in a specific month of SWIM by examining the proportion of those eligible during that month who were participating during that month. Another type can show operations in a month by disaggregating participants according to the types of activities in which they participated during the month. These types of snap-shots for each of the 24 months of SWIM indicate the degree to which the program saturated the WIN-mandatory caseload over the course of the demonstration.

B. The Impact Study

The impact analysis measures the effects of SWIM on the employment, earnings and welfare receipt of registrants. To estimate program impacts, an experimental design was implemented during the first 12 months of the program. During this period, individuals in the existing WIN-mandatory caseload of the two SWIM offices, along with any individuals determined to be WIN-mandatory during that year, were randomly assigned to one of two research groups. Members of the experimental group were required to participate in SWIM; members of the control group were not assigned to SWIM activities but could, on their own initiative, enroll in community programs.

Because the evaluation was intended to test the feasibility of saturating a WIN-mandatory caseload, only the minimum number of individuals required to provide reliable estimates of impacts -- 30 percent of the AFDC registrants and 35 percent of the AFDC-U registrants -- were assigned to the control group during the 12-month period. After the 12-month period of impact sample intake, assignment to the control group stopped and all new registrants were subject to SWIM participation requirements. Since successful random assignment ensures that experimental and control group members are similar in all characteristics except eligibility for program services, any differences in the groups' experiences result from differences in program treatment, that is, the requirement to participate in SWIM services and the receipt of these services.

Impacts were estimated by comparing the welfare and employment experiences of all experimentals (regardless of whether they had participated or were employed while in the program) and controls over time.

In evaluations of programs with limited participation requirements, a 12-month follow-up period will generally include substantial post-program follow-up data on both employment and welfare receipt. Since SWIM registrants were supposed to participate for as long as they received welfare, there could be no post-program follow-up on those who were still on welfare and active in SWIM throughout the follow-up period. In fact, 15 percent of the AFDC registrants and 14 percent of the AFDC-U registrants were still active in job search, work experience or education/training at the end of the 12-month follow-up period available for analysis in this report. And almost half the registrants in the impact sample -- 47 percent of the AFDC's and 42 percent of the AFDC-U's -- were still registered with SWIM at this point and eligible for SWIM services, even if not currently active.[24] Longer follow-up on the impact sample will be analyzed in the final SWIM report.

C. The Benefit-Cost Analysis

This analysis, which will appear in the final report, will examine the differences between the benefits and costs for the experimental group and those for the control group. Operating costs, including program administration and staff costs, and direct payments to enrollees and to institutions and organizations, will be compared to net benefits. The latter include net reductions in welfare grants or other transfer program payments, as well as net increases in the taxes paid by individuals who became employed as a result of the program.

* * *

The remainder of this report consists of seven chapters. Chapter 2 describes in detail the research design, the characteristics of the research sample and data sources for the evaluation. Chapter 3 discusses the program model, administrative structure and staffing patterns in SWIM. Chapter 4 provides detailed descriptions of the nature of the services provided in SWIM. Chapter 5 examines participation patterns, from entry into the program to one year later, for the sample of registrants on which the impact analysis is based. This provides information on the types, sequences and duration of services, and includes discussion of the typical childcare arrangements for program participants. Chapter 6 examines the extent to which the program implemented an ongoing participation requirement as well as noncompliance activities and outcomes. Chapter 7 analyzes monthly participation rates in the program. Chapter 8 concludes the report by considering the program's short-term impacts on employment, earnings, welfare receipt and welfare payments.

CHAPTER 2

RESEARCH DESIGN, SAMPLES AND DATA SOURCES

This chapter presents the program model tested in the evaluation. It then describes the process by which the main research sample was randomly assigned to experimental and control groups. It goes on to examine the characteristics of the sample used for the impact analysis, and subgroups of that sample. It then describes the sample used for the monthly participation analysis and smaller samples used in other supplementary studies. The chapter ends with a brief discussion of the data sources.

I. Program Model

As noted in Chapter 1, the SWIM demonstration explicitly tested the feasibility and effectiveness of imposing an ongoing work requirement on at least three quarters of the eligible welfare population. The SWIM program operated in the two largest offices -- San Diego West and Service Center -- of the seven EPP offices in San Diego. These were the two most urban offices in the county and served the most disadvantaged caseload. The program model, as seen in Table 2.1, involved a variety of activities, including job search workshops; EWEP; job clubs; ISESA (Individualized Supervised Employment Search Activity); program-arranged education or training; self-initiated education or training; and employment, as long as work hours were between 15 and 30 hours a week.[1] The nature of these program services is discussed in detail in Chapter 4.

TABLE 2.1

SWIM

SUMMARY OF KEY PROGRAM ACTIVITIES

ORIENTATION	Occurred before any SWIM activity and included program registration. Individual exit conferences were conducted for control group members directly following orientation.
APPRAISAL	Immediately followed orientation and resulted in referral to program activity, deferral from program activities due to participation in approved self-initiated activites or deferral from all program activities.
JOB SEARCH WORKSHOP	A two-week activity, provided to registrants after orientation and appraisal. The first week involved group sessions, followed by a week of phone room activities.
EWEP	The Employment Work Experience Program (EWEP) involved unpaid work at a public or non-profit agency or organization, while registrants continued to receive their welfare grant. Registrants were scheduled for a maximum of 32 hours each week, for 13 weeks.
JOB CLUB	Biweekly two-hour sessions, usually operated concurrently with EWEP.
STAR	Skills Techniques Achievement Reviews (STAR) replaced Job Clubs as of January 1987 and involved supervised job search with group motivational sessions for two to three hours every other day.
ASSESSMENT	Conducted by program staff, after the completion of EWEP or Job Clubs, in order to refer registrants to further job search, education or training.
ISESA	The Individualized Supervised Employment Search Activity (ISESA), usually offered as a post-assessment activity, required attendance at weekly job search sessions for 90 days.
EDUCATION/TRAINING	Education and training could be either self-initiated or program-arranged. Self-initiated education or training could occur at any point in the model. If approved by program staff, activities deferred registrants from other program requirements. Program-arranged education or training usually occurred after assessment.
EMPLOYMENT	Unsubsidized employment could occur at any point in the program. If employed 15 to 30 hours a week, a registrant was deferred from other program requirements. If employed less than 15 hours per week, registrants were given additional program assignments. Registrants employed more than 30 hours a week were deregistered.

II. Random Assignment

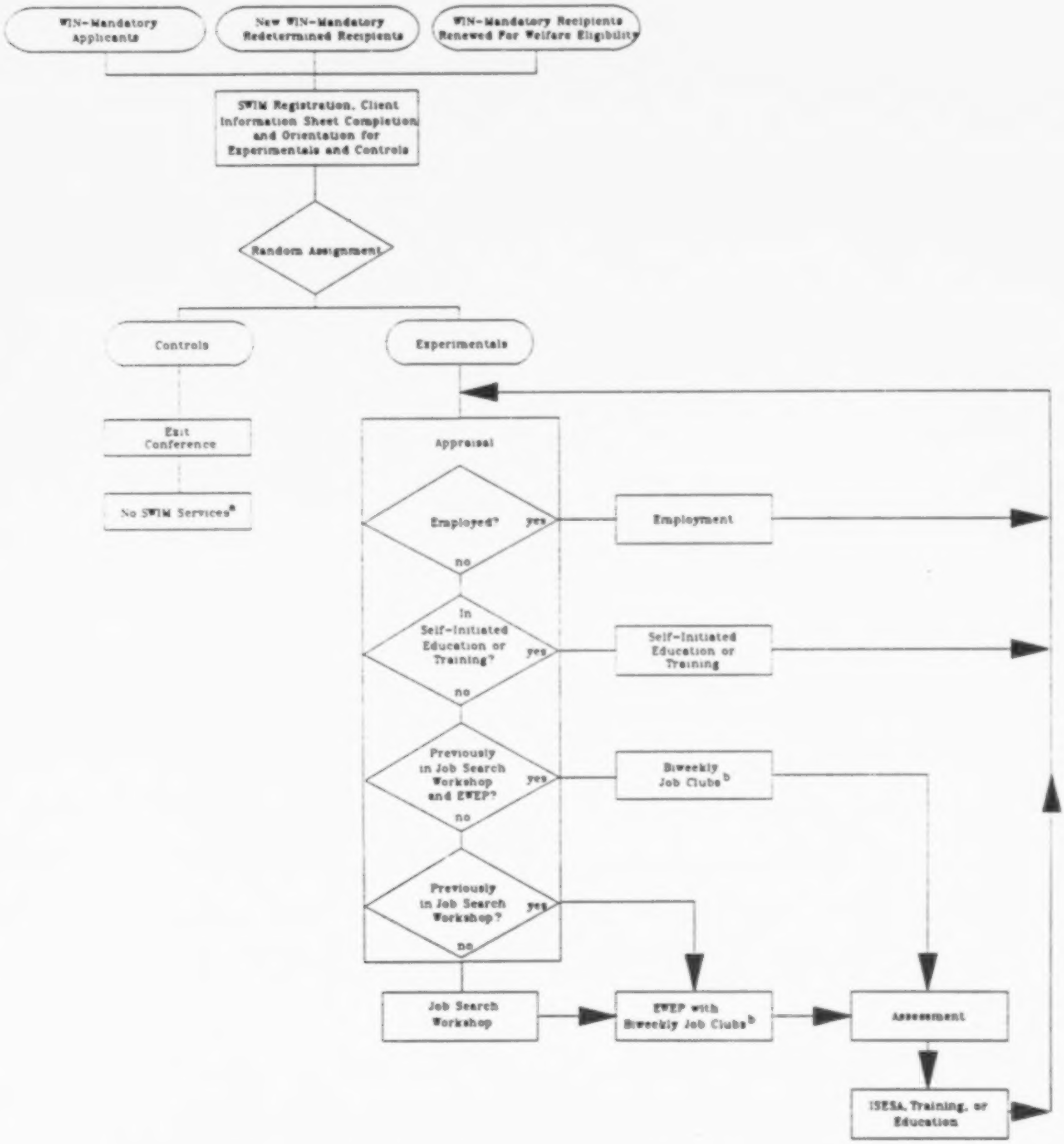
To isolate the impacts of SWIM from the effects of other factors on employment and welfare receipt, MDRC implemented a random assignment design. Randomly assigning registrants to research groups for the purposes of comparison should ensure that members of the experimental and control groups are similar in all characteristics except the services they receive. Any differences in the behavior of the groups, therefore, should be due to the program treatment being evaluated.

In SWIM, registrants were randomly assigned to two groups: a SWIM-eligible group and a control group. The members of the SWIM-eligible group were required to participate in SWIM. Members of the control group could not receive SWIM services but could enroll on their own initiative in other community programs, such as Job Training Partnership Act (JTPA) or community college services.

Random assignment took place at the point of initial registration for SWIM (see Figure 2.1). The random assignment period began on July 1, 1985, and ended on June 30, 1986. During the random assignment period, three groups of individuals were required to register for SWIM and, thus, included in the research. One group included individuals who applied for welfare and were determined to be WIN-mandatory. These individuals are referred to as applicants throughout the report, even if their applications were approved and even if they eventually left welfare. All AFDC-U parents are automatically WIN-mandatory; most AFDC heads of household whose youngest child is at least six years old are considered WIN-mandatory. WIN-mandatory applicants were required to register for SWIM before they were approved to receive welfare. If their applications were denied, they

FIGURE 2.1

FLOW OF REGISTRANTS THROUGH SWIM


WIN-Mandatory Applicants
New WIN-Mandatory Redetermined Recipients
WIN-Mandatory Recipients Renewed For Welfare Eligibility
SWIM Registration, Client Information Sheet Completion and Orientation for Experimentals and Controls
Random Assignment
Controls
Experimentals
Exit Conference
No SWIM Services[a]
Appraisal
Employed?
yes
no
Employment
In Self-Initiated Education or Training?
yes
no
Self-Initiated Education or Training
Previously in Job Search Workshop and EWEP?
yes
no
Biweekly Job Clubs[b]
Previously in Job Search Workshop?
yes
no
Job Search Workshop
EWEP with Biweekly Job Clubs[b]
Assessment
ISESA, Training, or Education

NOTES: [a] Controls could receive services outside of the SWIM program, e.g. community college or JTPA services.

[b] In January 1987, job clubs were replaced by the STAR component. Registrants participated in STAR after completing job search workshops and before beginning EWEP. Additionally, registrants participated initially in STAR if they had previously participated in job search workshop.

were deregistered from SWIM. The other two groups included in the research were WIN-mandatory welfare recipients, also phased into SWIM during the random assignment period. One of these recipient groups, called redetermined recipients, consisted of welfare recipients who had just been determined to be WIN-mandatory, generally because their youngest child had turned six years old. The other group, called renewed recipients, consisted of welfare recipients who had previously registered for WIN/EPP but were renewing their registration. This renewal was required every 12 months after the most recent AFDC approval.

Random assignment proceeded as follows. At SWIM registration, local program staff completed a one-page interview document (called a Client Information Sheet) eliciting demographic characteristics from all registrants. Local office staff then telephoned county staff at a central DSS office to relay a registrant's identifying information. Central office staff would then assign each registrant to an experimental or control status, using a list of randomly generated codes supplied by MDRC.

To ensure that all registrants remained in the group to which they had been randomly assigned, even if they were deregistered from the program and later re-registered, local office staff as well as central office staff maintained an alphabetic registrant master log with the research group status of everyone who had registered with SWIM and been randomly assigned. SWIM-eligibles who moved to an area of the county served by one of the five non-SWIM offices were eligible for EPP/EWEP services. Controls who moved to those areas of the county were not eligible for any program services.[2]

As noted, one of SWIM's primary goals was to test the feasibility of serving at least 75 percent of its SWIM-eligible caseload in each month.

To test this "monthly participation" goal, the SWIM-eligible caseload needed to be as large as possible. For this reason, the size of the control group was set as the minimum number of individuals required to provide reliable estimates of impacts. Thirty-five percent of the 4,626 AFDC's who registered with SWIM during the random assignment period were assigned to the control group. This yielded a total of 1,619 AFDC registrant controls. Thirty percent of 2,277 AFDC-U's who registered with the program during the random assignment period were assigned to the control group. This yielded a total of 683 AFDC-U registrant controls. Thus, about one-third of those who registered with SWIM during the random assignment period were not eligible to receive SWIM services, because they were assigned to control group status.

The remaining 65 percent of the AFDC and 70 percent of the AFDC-U SWIM registrants were eligible for all SWIM program services and were assigned to the SWIM-eligible group. MDRC collected data for approximately half of these SWIM-eligibles, 1,608 AFDC's and 704 AFDC-U's. This was a random sample of all SWIM-eligibles, and SWIM program operators did not know which of the SWIM-eligible registrants were in the sample and which were not. The impact sample, therefore, consists of these 2,312 experimentals and 2,302 controls, approximately two-thirds of all those who registered with SWIM during the first year of program operations.[3]

Several different samples were used in the research. The primary ones are the impact sample; the 12-month activity measure sample which is the impact sample minus the control group; and the monthly participation sample. The particulars of these samples are summarized in Table 2.2. They are discussed in more detail in the following sections.

TABLE 2.2

SWIM

PRIMARY RESEARCH SAMPLES FOR THE PROCESS AND IMPACT STUDIES

Sample	Registration Period	Control Group Included	Total Sample Size		Chapters in Which Sample is Analyzed
			AFDC	AFDC-U	
Twelve-Month Activity Measure Sample[a]	July 1, 1985- June 30, 1986	no	1608	704	5,6
Monthly Participation Measure Sample[b]	July 1, 1985- June 30, 1987	no	5332[c]	2949[c]	7
Impact Sample	July 1, 1985- June 30, 1986	yes	3211[d]	1341[d]	8

NOTES: [a] This sample is used to examine the extent to which individuals participated in various activities during the 12 months following initial registration.

[b] This sample is used to examine the proportion of individuals eligible for the program during a month who were active during that month.

[c] These sample sizes are weighted to reflect the actual number of SWIM-Eligibles and the actual proportion of AFDC's and AFDC-U's who registered between July 1, 1985 and June 30, 1987. See Chapter 2, footnote number 4, for weighting factors.

[d] Sixty-two individuals, whose initial registration date occurred during the impact sample intake period, were excluded from the impact analysis because they did not have social security numbers. These registrants were included in all other analyses.

III. Characteristics of the Impact and 12-month Activity Measure Samples

Table 2.3 presents the characteristics of the impact sample, as reported at random assignment, highlighting the differences between AFDC's and AFDC-U's.[4] A full 60 percent of the AFDC-U's are applicants, compared with only 39 percent of the AFDC's. AFDC-U's tend to be married males living with their spouses; AFDC's tend to be females who are not married or married but not living with their spouses. Over 70 percent of AFDC-U's have children under six, compared with only 10 percent of AFDC's. This is because AFDC-U's are in families with two-parents, one of whom is required to participate in SWIM regardless of the age of the children in the home. AFDC's, in contrast, are in single-parent families with at least one child in the home; if a child is under 6 years old, the parent is not required to participate in SWIM. The two assistance groups also differ on ethnicity. Forty-two percent of the AFDC-U's are hispanic; 42 percent of the AFDC's are black. About a quarter of both groups are white. The highest school grade completed, on average, was approximately the tenth grade for both groups.

Thirty-four percent of the AFDC-U's have never had a welfare case in their own name, compared with only 11 percent of the AFDC's. Only 15 percent of the AFDC-U's have had a welfare case in their own name for five years or more, compared with 51 percent of the AFDC's. The average number of months ever on welfare is only 24 for the AFDC-U's, compared with 70 months for the AFDC's.

At the time of registration, 13 percent of the AFDC's and 9 percent of the AFDC-U's reported being employed. Only 28 percent of the AFDC-U's

TABLE 2.3

SWIM

SELECTED CHARACTERISTICS OF REGISTRANTS AT THE TIME OF INITIAL REGISTRATION, BY ASSISTANCE CATEGORY

Characteristic	AFDC	AFDC-U
Office (%)		
Service Center	49.9	50.3
San Diego West	50.1	49.7
AFDC Status (%)		
Applicant	39.3	59.8***
Renewed Recipient	32.9	23.1***
Redetermined Recipient[a]	27.9	17.1***
Average Age (Years)	34.2	32.8***
Sex (%)		
Male	8.7	91.3***
Female	91.3	8.7***
Ethnicity (%)		
White, Non-Hispanic	27.2	24.7*
Black, Non-Hispanic	42.2	20.1***
Hispanic	25.7	42.1***
American Indian/Alaskan Native	0.6	0.4
Asian and Pacific Islander	3.8	11.1***
Other	0.6	1.5***
Degree Received (%)		
High School Diploma	48.0	37.9***
GED	7.8	8.0
None	44.1	54.1***
Average Highest Grade Completed	10.9	10.1***
Marital Status (%)		
Never Married	30.1	11.0***
Married, Living with Spouse	5.9	84.8***
Married, Not Living with Spouse	27.6	2.5***
Widowed or Divorced	36.5	1.7***
Any Children (%)[b]		
Less Than 6 Years	10.0	72.3***
Between 6 and 18 Years	90.4	57.5***
Mandatory AFDC with Child Less Than 6 (%)[c]	5.3	0.9***

(continued)

TABLE 2.3 (continued)

Characteristic	AFDC	AFDC-U
Monolingual in a Language Other than English (%)		
Spanish	8.4	15.6***
Other	0.5	1.2**
Undocumented Worker (%)	0.8	5.8***
Activities Within 12 Months Prior to Initial Registration (%)[d]		
Job Search Workshop	16.6	15.0
EWEP	9.9	7.9**
Education or Training	22.2	15.0***
No Prior Activities	63.0	71.2***
Current Activities (%)		
Employed 20 Hours or Less Per Week	7.0	6.3
Employed 21-30 Hours Per Week	5.5	3.1***
Education or Training	14.6	9.6***
Prior AFDC Dependency (%)		
Never on AFDC	11.4	34.1***
1-11 Months	6.9	15.4***
12-23 Months	6.8	10.6***
24-35 Months	8.1	10.7***
36-47 Months	8.3	7.9
48-59 Months	6.9	6.8
60 Months or More	51.4	14.5***
Average Number of Months Ever on AFDC	69.5	24.4***
Average Number of Months on AFDC During 24 Months Prior to Initial Registration	15.5	9.5***
Ever Included on Someone Else's AFDC Case (%)	16.7	33.4***
Length of Time Employed During 24 Months Prior to Initial Registration (%)		
Not Employed	49.9	27.7***
1 Week to 6 Months	18.0	19.1
7-12 Months	12.8	18.0***
13-18 Months	7.7	13.0***
19-24 Months	11.5	22.2***

(continued)

TABLE 2.3 (continued)

Characteristic	AFDC	AFDC-U
Held a Job at Any Time During Quarter Prior to Initial Registration (%)[e]	26.8	38.1***
Held a Job at Any Time During Four Quarters Prior to Initial Registration (%)[e]	39.4	56.5***
Held a Job at Any Time During Ten Quarters Prior to Initial Registration (%)[e]	51.7	69.1***
Estimated Earnings During 24 Months Prior to Initial Registration (%)		
$0	49.9	27.5***
$1-$1000	14.0	11.6**
$1001-$5000	17.7	21.2***
$5001-$10,000	10.2	18.2***
Over $10,000	8.2	21.6***
Average Earnings During Quarter Prior to Initial Registration ($)[e]	421.85	870.71***
Average Earnings During Four Quarters Prior to Initial Registration ($)[e]	1668.60	3507.07***
Average Earnings During Ten Quarters Prior to Initial Registration ($)[e]	4035.16	8055.14***
Received Unemployment Compensation During Three Months Prior to Initial Registration (%)[e]	4.2	9.2***
Received Unemployment Compensation During 12 Months Prior to Initial Registration (%)[e]	7.5	17.6***
Average Amount of Unemployment Compensation During Three Months Prior to Initial Registration ($)[e]	32.05	68.79***
Average Amount of Unemployment Compensation During 12 Months Prior to Initial Registration ($)[e]	126.62	299.75***
Sample Size[f]	3227	1387

(continued)

TABLE 2.3 (continued)

SOURCE: MDRC Client Information Sheets and the State of California Unemployment Insurance earnings and benefits records.

NOTES: The sample for this table includes individuals who registered between July 1985 and June 1986.

Distributions may not add to 100.0 percent due to rounding.

A chi-square test or t-test was applied to differences between assistance categories. Statistical significance levels are indicated as: * = 10 percent; ** = 5 percent; *** = 1 percent.

[a] AFDC-U cases can be redetermined as WIN-mandatory when an AFDC case becomes an AFDC-U case or when a previously exempt AFDC-U case (e.g., medically exempt) loses its exemption status.

[b] Distributions may not add to 100.0 percent because sample members can have children in more than one category. In addition, some individuals, who are not part of their parents' case, may not have any children.

[c] A few AFDC-U's may be included in the "Mandatory AFDC With Child Less Than 6" category due to data entry errors or misinterpretation of the question.

[d] Distributions add to more than 100.0 percent because sample members can be included in more than one activity.

[e] These data are calculated from the State of California Unemployment Insurance earnings records and include zero values for sample members not employed and for those not receiving Unemployment Compensation.

[f] For selected characteristics, sample sizes may vary up to 5 sample points due to missing data. 62 of these registrants were excluded from the impact analysis because they did not have social security numbers.

reported not working in the two years prior to registration, compared with 50 percent of the AFDC's. The average earnings for the AFDC-U's during the year prior to random assignment was $3,507, compared with $1,669 for AFDC's. (Note that these averages include zero values for sample members not employed.)

Fewer AFDC-U's reported recently engaging in activities aimed at improving their employability than did AFDC's. As of registration, 15 percent of the AFDC's reported current participation in an education or skills training activity. During the year prior to registration, 17 percent of the AFDC's had participated in job search workshops; 10 percent had been active in EWEP; and 22 percent had participated in an education or skills training program. Among the AFDC-U's, 10 percent reported current participation in an education or skills training activity. During the year prior to registration, 15 percent had participated in job search workshops; 8 percent had been active in EWEP; and 15 percent had participated in an education or skills training program. Because of the many differences between the two assistance groups, the majority of this report will analyze AFDC-U's and AFDC's separately.

A. Characteristics of Controls and Experimentals

Random assignment to the impact sample proceeded smoothly, resulting in experimental and control groups with similar demographic characteristics. Appendix Table B.1 presents the demographic characteristics of the experimentals and controls in the impact sample. There were only a few statistically significant demographic differences between the groups at random assignment: Slightly more AFDC controls than experimentals were redetermined recipients. More AFDC controls than experimentals were Asians and Pacific Islanders.

There were even fewer significant control-experimental differences among the AFDC-U registrants. (See Appendix Table B.1). A slightly lower proportion of controls than experimentals reported being employed 21 to 30 hours a week as of registration. Average earnings one year prior to registration were also lower for controls.

B. Subgroup Characteristics

In addition to estimating overall impacts, the research addresses the important issue of whether certain subgroups of individuals are likely to benefit more from the SWIM model than other subgroups. The impact and the process analyses thus focus on several important subgroups. The primary division is between the AFDC's and the AFDC-U's. The characteristics of these two groups have already been described.

A second division is between earlier and later registrants. Given that the members of the impact sample entered the sample over a one-year period, it is important to determine if sample members who were randomly assigned in the later part of the registration period differed systematically from those who were randomly assigned earlier. Appendix Table B.2 shows characteristics of the subgroups registering with SWIM between July 1985 and December 1985 and those registering between January 1986 and June 1986.

For the AFDC registrants, the earlier sample is approximately 55 percent of all registrants in the impact sample and the later sample is 45 percent. There are some statistically significant differences between these two groups. AFDC registrants in the earlier group are more likely to be applicants and less likely to be renewed recipients than the later group. This, in turn, means that the earlier sample is less disadvantaged with respect to prior welfare dependency than the later one, although these differences are not very large.

These sample differences may be due to the fact that delays in notifying recipients of their renewal interviews slowed the rate at which this group was phased into the program. This, in turn, affects the composition of the sample with respect to the applicant/recipient distinction. They may also be due, to a lesser extent, to a decline in the unemployment rate in San Diego county over the intake period for the impact sample; the unemployment rate decreased from 5.3 percent in the last 6 months of 1985 to 4.9 in the first 6 months of 1986. As the unemployment rate declines, the more advantaged are likely to find jobs and therefore are less likely to apply for welfare.

For the AFDC-U registrants, the earlier group is approximately 54 percent of all AFDC-U registrants and the later group is 46 percent. Comparisons of demographic characteristics reveal few differences between the groups. The percentage of females was greater in the earlier AFDC-U sample than the later one; and the employment as well as the average earnings of the earlier sample were lower than those of the later one. The AFDC-U samples did not differ, however, along the measures of prior welfare dependency. It is noteworthy that, unlike the AFDC samples, the two AFDC-U groups did not differ in the percentages of applicants versus recipients. It is unclear why notification delays and the declining unemployment rate did not affect AFDC-U's in the way they seem to have affected AFDC's.

A third important division is between the applicant and recipient samples. (See Table 2.4). Demographically, these two groups were very

TABLE 2.4

SWIM

SELECTED CHARACTERISTICS OF REGISTRANTS AT THE TIME OF INITIAL REGISTRATION, BY ASSISTANCE CATEGORY AND WELFARE STATUS

Characteristic	AFDC		AFDC-U	
	Applicant	Recipient	Applicant	Recipient
Office (%)				
Service Center	44.9	53.1***	50.1	50.7
San Diego West	55.1	46.9***	49.9	49.3
AFDC Status (%)				
Applicant	100.0	0.0***	100.0	0.0***
Renewed Recipient	0.0	54.1***	0.0	57.5***
Redetermined Recipient[a]	0.0	45.9***	0.0	42.5***
Average Age (Years)	33.9	34.3	31.0	35.6***
Sex (%)				
Male	12.9	6.1***	92.4	89.6*
Female	87.1	93.9***	7.6	10.4*
Ethnicity (%)				
White, Non-Hispanic	31.3	24.6***	29.6	17.6***
Black, Non-Hispanic	41.2	42.8	22.3	16.8**
Hispanic	21.8	28.2***	40.3	44.8
American Indian/Alaskan Native	1.0	0.3**	0.4	0.5
Asian and Pacific Islander	3.9	3.6	6.3	18.3***
Other	0.7	0.5	1.2	2.0
Degree Received (%)				
High School Diploma	52.6	45.1***	42.9	30.5***
GED	8.4	7.5	9.8	5.4***
None	39.1	47.4***	47.3	64.2***
Average Highest Grade Completed	11.2	10.7***	10.6	9.3***
Marital Status (%)				
Never Married	25.6	33.0***	12.8	8.3**
Married, Living with Spouse	8.3	4.3***	82.3	88.5***
Married, Not Living with Spouse	31.2	25.3***	2.8	2.2
Widowed or Divorced	35.0	37.4	2.2	1.1
Any Children (%)[b]				
Less Than 6 Years	7.0	12.0***	75.9	67.0***
Between 6 and 18 Years	91.0	89.9	49.7	69.0***
Mandatory AFDC With Child Less Than 6 (%)[c]	2.8	6.9***	1.0	0.9

(continued)

TABLE 2.4 (continued)

Characteristic	AFDC		AFDC-U	
	Applicant	Recipient	Applicant	Recipient
Monolingual in a Language Other Than English (%)				
Spanish	7.0	9.2**	11.7	21.3***
Other	0.9	0.3**	0.4	2.5***
Undocumented Worker (%)	0.9	0.8	6.0	5.6
Activities Within 12 Months Prior to Initial Registration (%)[d]				
Job Search Workshop	10.7	20.5***	9.3	23.5***
EWEP	5.2	13.0***	3.5	14.3***
Education or Training	16.0	26.1***	10.1	22.2***
No Prior Activities	73.7	56.0***	81.2	56.3***
Current Activities (%)				
Employed 20 Hours or Less Per Week	6.5	7.3	3.6	10.4***
Employed 21-30 Hours Per Week	4.3	6.2**	2.8	3.6
Education or Training	9.7	17.7***	5.9	15.1***
Prior AFDC Dependency (%)				
Never on AFDC[e]	22.3	4.3***	52.0	7.5***
1-11 Months	12.8	3.2***	20.0	8.6***
12-23 Months	9.1	5.4***	8.7	13.4***
24-35 Months	9.1	7.4	6.6	16.8***
36-47 Months	7.6	8.8	3.5	14.3***
48-59 Months	6.3	7.3	3.1	12.2***
60 Months or More	32.8	63.5***	6.0	27.1***
Average Number of Months Ever on AFDC	47.6	83.6***	12.0	42.8***
Average Number of Months on AFDC During 24 Months Prior to Initial Registration	8.0	20.4***	3.7	18.1***
Ever Included on Someone Else's AFDC Case (%)	15.9	17.2	32.6	34.6
Length of Time Employed During 24 Months Prior to Initial Registration (%)				
Not Employed	33.9	60.3***	9.9	54.1***
1 Week to 6 Months	18.3	17.9	18.7	19.7
7-12 Months	15.3	11.2***	21.1	13.3***
13-18 Months	12.9	4.2***	18.2	5.4***
19-24 Months	19.5	6.3***	32.1	7.5***

(continued)

TABLE 2.4 (continued)

Characteristic	AFDC		AFDC-U	
	Applicant	Recipient	Applicant	Recipient
Held a Job at Any Time During Quarter Prior to Initial Registration (%)[f]	38.6	19.1***	49.2	21.9***
Held a Job at Any Time During Four Quarters Prior to Initial Registration (%)[f]	50.5	32.3***	68.3	39.2***
Held a Job at Any Time During Ten Quarters Prior to Initial Registration (%)[f]	59.6	46.6***	77.2	57.2***
Estimated Earnings During 24 Months Prior to Initial Registration (%)				
$0	33.9	60.2***	9.9	53.6***
$1 - $1,000	12.9	14.8	10.0	14.0**
$1,001 - $5,000	19.4	16.5**	22.9	18.6*
$5,001 - $10,000	16.2	6.3***	23.8	9.9***
Over $10,000	17.6	2.1***	33.4	3.9***
Average Earnings During Quarter Prior to Initial Registration ($)[f]	764.67	201.03***	1286.52	260.39***
Average Earnings During Four Quarters Prior to Initial Registration ($)[f]	2993.98	816.91***	5182.35	1057.39***
Average Earnings During Ten Quarters Prior to Initial Registration ($)[f]	6924.97	2178.16***	11,271.59	3349.14***
Received Unemployment Compensation During Three Months Prior to Initial Registration (%)[f]	7.8	1.8***	13.2	3.3***
Received Unemployment Compensation During 12 Months Prior to Initial Registration (%)[f]	12.5	4.3***	23.8	8.5***
Average Amount of Unemployment Compensation During Three Months Prior to Initial Registration ($)[f]	63.39	11.86***	100.40	22.33***

(continued)

TABLE 2.4 (continued)

Characteristic	AFDC		AFDC-U	
	Applicant	Recipient	Applicant	Recipient
Average Amount of Unemployment Compensation During 12 Months Prior to Initial Registration ($)[f]	237.54	55.17***	403.83	146.78***
Sample Size[g]	1267	1960	829	558

SOURCE: See Table 2.3.

NOTES: The sample for this table includes individuals who registered between July 1985 and June 1986.

Distributions may not add to 100.0 percent due to rounding.

A chi-square test or t-test was applied to differences between welfare statuses within assistance categories. Statistical significance levels are indicated as: * = 10 percent; ** = 5 percent; *** = 1 percent.

[a] AFDC-U cases can be redetermined as WIN-mandatory when an AFDC case becomes an AFDC-U case or when a previously exempt AFDC-U case (e.g., medically exempt) loses its exemption status.

[b] Distributions may not add to 100.0 percent because sample members can have children in more than one category. In addition, some individuals, who are not part of their parents' case, may not have any children.

[c] A few AFDC-U's may be included in the "Mandatory AFDC With Child Less Than 6" category due to data entry errors or misinterpretation of the question.

[d] Distributions add to more than 100.0 percent because sample members can be included in more than one activity.

[e] A few recipients may be included in the "Never on AFDC" category due to data entry errors or misinterpretation of the question.

[f] These data are calculated from the State of California Unemployment Insurance earnings records and include zero values for sample members not employed and for those not receiving Unemployment Compensation.

[g] For selected characteristics, sample sizes may vary up to 5 sample points due to missing data. 62 of these registrants were excluded from the impact analysis because they did not have social security numbers.

different, as would be expected since some individuals who have never received welfare or whose applications will be denied are included among the applicant group. Applicants had more recent work experience. Fifty-one percent of the AFDC applicants had held a job during the year prior to random assignment compared with 32 percent of the AFDC recipients. Sixty-eight percent of the AFDC-U applicants had a job during the year prior to random assignment, compared with 39 percent of the AFDC-U recipients. Applicants also tended to be more educated. Fifty-three percent of AFDC and 43 percent of AFDC-U applicants had a high school diploma as compared with 45 percent of the AFDC and 31 percent of the AFDC-U recipients. Applicants, as expected, had less history of welfare dependency than recipients. However, it is important to note that, even among applicants, only 22 percent of the AFDC's and 52 percent of the AFDC-U's had no welfare history at all.

A fourth division is between registrants at the two welfare offices involved in the demonstration. Demographically, these two groups were generally similar. However, a higher proportion of registrants at the San Diego West office were applicants, as compared to registrants at the Service Center office. As a result, registrants at the San Diego West office were better educated, had less history of welfare dependency, and more recent ties to the labor force.

IV. Sample Used to Measure Monthly Participation

As mentioned, the current WIN mandatory caseload was phased into the SWIM program during its first year of operation. The one-third who were randomly assigned to control group status, of course, were not eligible to receive SWIM services. During the second year of SWIM all new registrants -- primarily new applicants and recipients recently determined to be WIN-mandatory -- were eligible to receive services. Thus, no registrants were placed in a control group. To be able to study the extent to which saturation was reached over an extended period of time, data were collected for a representative sample of approximately 33 percent of the individuals registering with SWIM during the year after the end of random assignment, i.e., between the period of July 1, 1986, through the end of June 1987.

Data on this sample of registrants were combined with data on the SWIM-eligibles in the impact sample to analyze case management and participation patterns for the entire caseload, including both AFDC's and AFDC-U's. To approximate the size of the entire caseload, several weighting factors were used. The combined AFDC and AFDC-U sample was weighted to adjust for the higher proportion of AFDC's, relative to the proportion of the AFDC-U's, for whom data were collected. The sample was also weighted to adjust for the fact that data were collected for only a portion of the SWIM-eligible group.[5] Weighting in this way enables the monthly participation analysis to draw conclusions for the estimated size of the actual caseload with which the staff was working rather than the smaller samples used in other parts of the research.

Those who registered with the program during its first year of operation (i.e., members of the impact sample) had demographic characteristics quite different from those who registered with the program after June 1986. (See Appendix Table B.3.) This is to be expected, since all the current WIN-mandatory registrants were phased into the SWIM program during the first year. These individuals were already on welfare and many had a long-term history of welfare dependence. After the first year of SWIM operation all the current WIN-mandatory registrants had already registered for SWIM. Those who registered for SWIM in the second year tended to be applicants or redetermined recipients.[6] Only 40 percent of AFDC's who registered before June 1986 were applicants, compared to 58 percent of the post-June 1986 AFDC registrants. Both the AFDC's and AFDC-U's who registered with the program after June 1986 had less welfare dependency than their counterparts who registered before June 1986.

V. Other Research Samples

In addition to the main research questions discussed in Chapter 1, the research addressed several secondary questions that required looking at specific aspects of SWIM in greater detail. To examine these secondary research questions, four small random subsamples were selected from among the SWIM-eligibles.

A. Childcare Sample

To analyze the use of childcare in SWIM the case file records of 121 registrants were reviewed. This sample of 121 registrants was randomly selected from AFDC SWIM-eligibles registered and participating in SWIM components during July or November of 1986.

B. Nonparticipation Sample

One of the primary research questions in SWIM, as noted, is whether 75 percent of the registrants in any given month will participate in at least one component. A special sample of 99 registrants was randomly selected from those registrants not participating during July or November of 1986 to discover reasons for nonparticipation through case file reviews.

C. Noncompliance Sample

To describe the extent to which individuals were not in compliance with program requirements, case file records of a sample of program registrants, both participants and nonparticipants, were reviewed. The sample consisted of 144 AFDC and 98 AFDC-U registrants, randomly selected from individuals who were randomly assigned to the SWIM-eligible research group between January 1 and March 31, 1986. These registrants' program activities were tracked for 15 to 18 months after random assignment.

D. Worksite Sample

Worksite interviews were conducted by MDRC with a subsample of 30 work experience supervisors, primarily to obtain estimates of the value of work done by EWEP participants. Thirty registrants were randomly selected, from the May 1987 EWEP assignment logs, from among the 85 registrants who were assigned to participate in May 1987. The supervisors of these 30 registrants were interviewed for about 20 minutes over the telephone.

VI. Data Sources

This report uses a number of different data sources to analyze the flow of individuals through the program, to describe program operations and implementation, and to measure employment and welfare outcomes. As indicated in Table 2.5, these sources provide varying lengths of follow-up, depending on the sample member's initial registration date. The sources are:

- Client Information Sheet (CIS) is a one-page interview document designed by MDRC to provide data on registrants' demographic characteristics such as age, ethnicity, family composition and education and training history, as well as information on their welfare and employment histories. This

TABLE 2.5

SWIM

LENGTH OF AVAILABLE FOLLOW-UP BY DATA SOURCE AND PERIOD OF INITIAL REGISTRATION

Data	Data Source	Point at Which Data Collection Begins	Last Date Data Are Available	Length of Follow-Up By Period of Initial Registration			
				July-September 1985	October-December 1985	January-March 1986	April-June 1986
Process Data	SWIM Automated Tracking System and EWEP Attendance Logs[a]	Date of Initial Registration	June 1987	Twenty-One Months[b]	Eighteen Months[b]	Fifteen Months[b]	Twelve Months[b]
Quarterly Employment and Earnings Data	State of California Unemployment Insurance System[c]	10 Quarters Prior to Initial Registration	First Quarter 1987	Six Quarters[d]	Five Quarters[d]	Four Quarters[d]	Three Quarters[d]
Monthly AFDC Grant Payments	County of San Diego AFDC Payments System	20 Months Prior to Initial Registration	August 1987	Twenty-Four Months[e]	Twenty-One Months[e]	Eighteen Months[e]	Fifteen Months[e]

NOTES: [a] Tracking data was not collected for members of the control group.

[b] The first month of follow-up for tracking data does not include the month in which an individual initially registered.

[c] Unemployment insurance earnings records report earnings on a calendar quarter basis.

[d] The calendar quarter of initial registration is not considered to be a follow-up quarter for employment and earnings for the SWIM evaluation.

[e] The first month of follow-up for AFDC grant payments includes the month in which an individual initially registered.

form was completed by SWIM program staff for registrants at the time of SWIM registration. These data were then merged with information on welfare receipt, employment and program participation in the final analysis file. Data quality was generally good.[7]

- California State Unemployment Insurance (UI) Earnings and Benefits Records provide measures of earnings reported by calendar quarter: i.e., January through March; April through June. Unemployment benefits data are reported by calendar months to coincide with the payment schedule of these benefits.

  Several limitations of these data should be noted. First, because of the reporting lags typical of the UI wage reporting system, data were only available for three quarters after random assignment for the entire impact sample.[8] Second, the use of quarterly data meant that there were varying lengths of follow-up, depending on whether an individual registered for SWIM during the first, second or third month of the calendar quarter. Third, even for existing data, there could be some underreporting -- for example, because of employers failing to report earnings or people moving out of state. Also, not all employers are required to report. Thus, UI data do not necessarily cover all employment of the research sample. Since all these factors should have affected experimental and control group members equally, there is no reason to believe they affected employment and earnings outcomes differently for experimentals relative to those of controls.[9]

- AFDC Records supply information on monthly AFDC (i.e., welfare) grants. These data were obtained directly from the County of San Diego Department of Social Services and collected through August 1987 for the analyses in this report. This provided 15 months of post-random assignment follow-up for the entire impact sample. When AFDC data are matched to CIS and UI data, some inaccuracies, due either to incomplete data entry or inability to match records, can be expected. Since this source of error should not differ across research groups, it should not be a source of bias for the impact estimates.[10] In order to be compatible with the earnings data, welfare payments were aggregated into calendar quarter periods.

- The SWIM Automated Tracking System was used as a case management system by SWIM program staff as well as to provide data for the research. This system was used to provide information on program registration and deregistration, as well as start and end dates for program-related activities such as job search workshops, job clubs, and program-arranged education and training activities; and for registrant-initiated activities such as employment, or education or training programs in which registrants enroll on their own.[11] The system maintained data on all SWIM-eligibles. Data were processed through June 1987, providing 12 months of follow-up for SWIM-eligibles in the impact sample. MDRC conducted a comprehensive quality check of the SWIM tracking system. The results indicated that, for the most part, the automated tracking system provided adequate data for analysis. (See Appendix A for more detail.)

- EWEP Logs maintained by the San Diego Workfare Unit within the DSS Employment Services Bureau were used to provide information on worksite attendance. The logs were completed by the EWEP staff at each of the local welfare offices and periodically sent to MDRC. These data were collected through June 1987 for all SWIM registrants, providing 12 months of follow-up for the entire impact sample.

- Interviews with program staff and education and training providers were used in addition to direct observation of program activities and review of local office case files to study program activities for the process analysis.

CHAPTER 3

ADMINISTRATION AND STAFFING

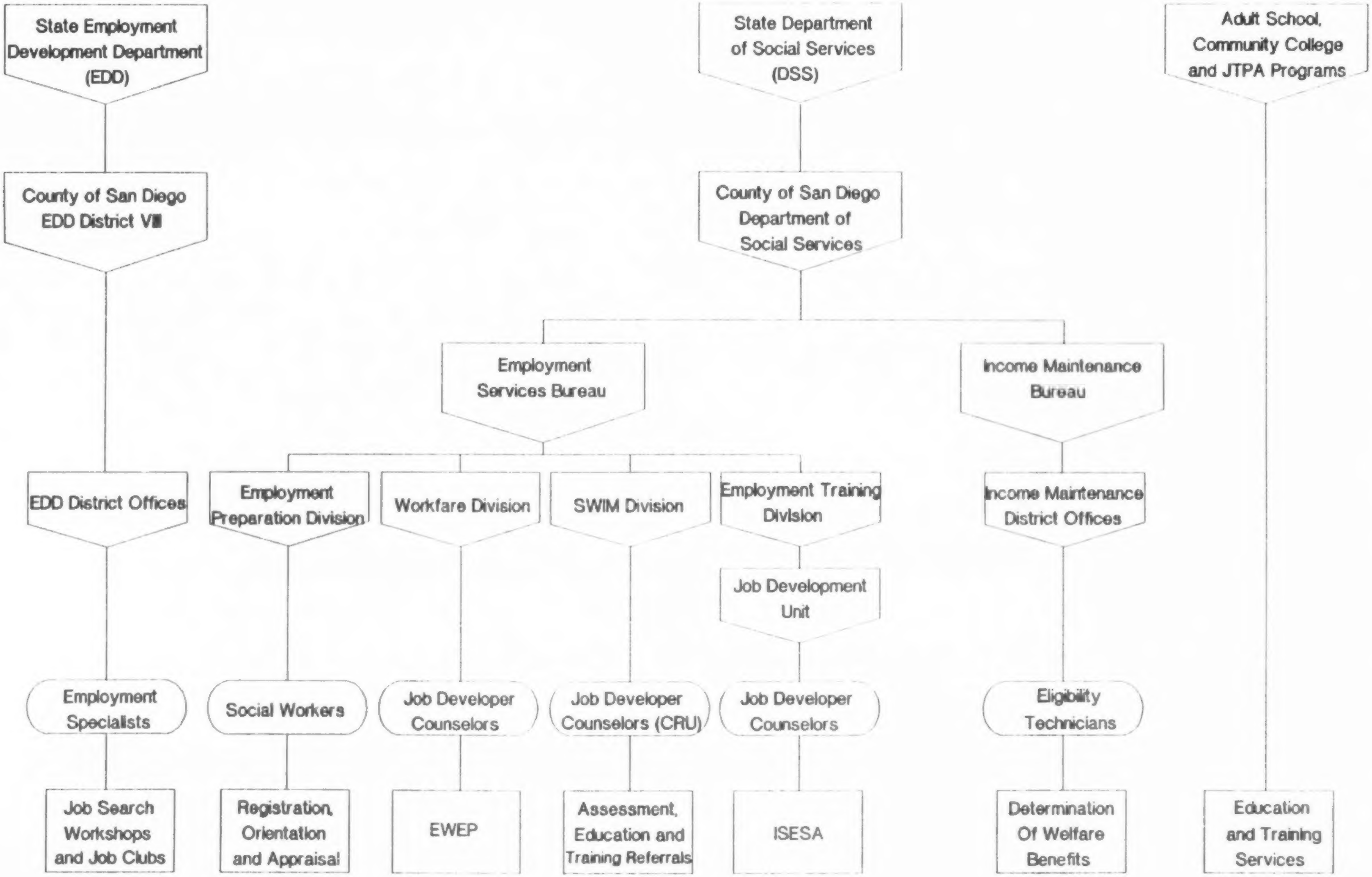
To provide a context for understanding the participation and impact findings presented later in the report, this chapter describes the administration and staffing of the SWIM program, including coordination between staffing units, case management procedures and staff attitudes regarding the program. Chapter 4 then describes the nature of program services.

I. Administrative Structure

The administrative structure of SWIM was complicated, as indicated in Figure 3.1. Building on the EPP/EWEP program model, the program was administered by the County and State Departments of Social Services (DSS) and the State Employment Development Department (EDD) and its district offices. The county's lead agency for the demonstration was the Employment Services Bureau within DSS, which coordinated work with San Diego's EDD. Within the Employment Services Bureau, the Employment Preparation Division provided overall direction for program registration, orientation, job search workshops, job clubs and the Skills Techniques Achievement Reviews (STAR); the Workfare Division directed the EWEP program; the SWIM Division directed assessments and education and training activities; and the Employment Training Division directed Individualized Supervised Employment Search Activity (ISESA). In addition, education and training services were provided by community organizations. Thus, actual services were provided

FIGURE 3 . 1

ORGANIZATIONS, STAFF AND SERVICES IN THE SWIM DELIVERY SYSTEM


State Employment Development Department (EDD)
County of San Diego EDD District VIII
EDD District Offices
Employment Specialists
Job Search Workshops and Job Clubs
State Department of Social Services (DSS)
County of San Diego Department of Social Services
Employment Services Bureau
Income Maintenance Bureau
Employment Preparation Division
Workfare Division
SWIM Division
Employment Training Division
Job Development Unit
Income Maintenance District Offices
Social Workers
Job Developer Counselors
Job Developer Counselors (CRU)
Job Developer Counselors
Eligibility Technicians
Registration, Orientation and Appraisal
EWEP
Assessment, Education and Training Referrals
ISESA
Determination Of Welfare Benefits
Adult School, Community College and JTPA Programs
Education and Training Services

by several different agency or unit staffs.

II. Staffing Levels and Staff Responsibilities

Managing the flow of registrants through the program as well as providing direct program services required a large staff. This was true in spite of the fact that the county welfare department referred program registrants to community resources for education and training and did not operate or fund these activities itself. Substantial staff resources were required to monitor attendance, deal with noncompliance with program requirements, arrange support services and track registrants' activities. In part, this was due to the fact that the SWIM automated tracking system was not exploited to the fullest extent possible to aid in case management tasks. Program resources were not available to develop computer routines that would allow the tracking system to do some of the more clerical work performed by the staff who were responsible for keeping detailed records of registrants' program activities.

Building on procedures used in the EPP/EWEP program, different sets of staff were responsible for working with and monitoring registrants as they progressed through different stages of the program model. This section uses the results of an MDRC time study to indicate the program functions fulfilled by each set of line staff involved in SWIM.

The discussion begins by summarizing the overall findings of the time study for professional staff involved in SWIM. It then provides more detail on the responsibilities of both professional and clerical staff.

A. Overview of Activities of Professional Staff in SWIM

The results of MDRC's time study, which was conducted in June 1986, are shown in Table 3.1. Note that in addition to the staff indicated in Table 3.1 and described below, supervisory staff (located at each SWIM office) and administrative staff (located at a central office) were part of the program's staffing configuration.

Regardless of program component, two-thirds of professional staff time was spent monitoring attendance, dealing with noncompliance, arranging support services and tracking registrants' activities. In particular, arranging and authorizing support service payments was very time-consuming; over one-quarter of all staff time was spent on this activity.

Broken down by component, twelve percent of SWIM professional staff hours were spent on activities that occurred during the morning sessions when individuals registered with the program. These activities included random assignment, completion of a one-page research document which recorded registrants' background characteristics, registration, program orientation and post-orientation appraisals.

Over 45 percent of professional staff hours were occupied by tasks associated with providing job search activities. This included arranging for support services for participants, leading the job search workshops or job clubs, and dealing with noncompliance associated with these activities.

Seventeen percent of professional staff hours were spent in connection with EWEP. EWEP activities included orienting registrants to EWEP, placing registrants in EWEP and monitoring their participation, arranging support services for participants, dealing with noncompliance in EWEP and miscellaneous EWEP program reporting.

TABLE 3.1

SWIM

PERCENTAGE DISTRIBUTION OF ALL NON-SUPERVISORY AND NON-ADMINISTRATIVE STAFF TIME SPENT ON SWIM TASKS, BY TASK, AGENCY, AND TYPE OF STAFF

	EPP		EDD		EWEP		SWIM		TOTAL	
SWIM Task	Social Workers	Clerks	Employment Specialists	Clerks	Job Developer Counselors	Clerks	Job Developer Counselors	Clerks	Professional Staff	Clerks
Random Assignment and Completing Client Information Sheet	0.0	0.0	0.0	0.0	0.0	25.4	9.5	23.1	2.1	7.4
Registration and Orientation for SWIM-Eligibles and Controls	6.8	83.9	3.4	13.9	0.0	0.0	0.0	4.5	3.5	44.6
Appraisals for SWIM-Eligibles; Exit Conferences for Controls	15.2	13.0	1.6	0.0	0.0	0.0	0.0	0.0	5.9	6.4
Support Service Arrangements for SWIM-Eligibles in Job Search Workshop or Job Club	19.0	0.0	27.4	66.9	0.0	0.0	0.0	0.0	15.6	13.9
Operating Job Search Workshop	24.6	0.0	20.3	0.0	0.0	0.0	0.0	0.0	15.2	0.0
Operating Job Club	0.0	0.0	20.2	7.2	0.0	0.0	0.0	0.0	6.6	1.5
Non-Compliance Activities Associated with Registration, Job Search Workshop or Job Club	2.3	0.0	21.6	0.0	0.0	0.0	0.0	0.0	7.9	0.0
Orientation to EWEP, Placing SWIM-Eligibles in EWEP, Monitoring Worksites and EWEP Participants	0.0	0.0	0.0	0.0	44.1	0.0	0.0	0.0	4.7	0.0
Support Service Arrangements for Participants in EWEP	18.4	0.0	0.0	0.0	17.0	0.0	0.0	0.0	8.3	0.0
Program Reporting for EWEP	0.0	1.9	0.0	0.0	27.1	74.6	0.0	0.0	2.9	14.3
Non-Compliance Follow-Up for EWEP	0.0	0.0	0.0	0.0	11.8	0.0	0.0	0.0	1.3	0.0

(continued)

TABLE 3.1 (continued)

SWIM Task	EPP		EDD		EWEP		SWIM		TOTAL	
	Social Workers	Clerks	Employment Specialists	Clerks	Job Developer Counselors	Clerks	Job Developer Counselors	Clerks	Professional Staff	Clerks
Assessment for Referrals to Education or Training, and Monitoring of Participants	0.0	0.0	0.0	0.0	0.0	0.0	24.6	6.6	5.3	0.8
Support Service Arrangements for SWIM-Eligibles in Program-Arranged Education or Training	4.4	0.0	0.0	0.0	0.0	0.0	0.0	0.0	1.5	0.0
Miscellaneous Paperwork for Education or Training	0.0	0.0	0.0	0.0	0.0	0.0	3.4	2.8	0.7	0.3
Non-Compliance Activities Associated with Education or Training	1.4	0.3	0.0	0.0	0.0	0.0	1.2	0.0	0.7	0.1
Verification of Attendance in Self-Initiated Activities and Employment; Tracking Other Program Statuses[a]	0.0	0.0	0.0	0.0	0.0	0.0	37.1	63.0	8.0	7.7
General Paperwork[b]	2.6	0.0	5.3	6.1	0.0	0.0	24.2	0.0	7.9	1.3
Support Service Arrangements for Controls	4.7	0.0	0.2	0.3	0.0	0.0	0.0	0.0	1.7	0.1
Services to Volunteers or Non-Federals	0.5	0.9	0.0	5.6	0.0	0.0	0.0	0.0	0.2	1.6
Total	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0
Number of Staff Surveyed[c]	19	9	15	3	12	6	10	4	56	22

SOURCE: Calculations from MDRC Time Study of SWIM staff, conducted from June 16 to June 27, 1986.

NOTES: Distributions may not add to 100.0 percent due to rounding.

All percentages are calculated as a proportion of the total number of staff hours.

Tests of statistical significance were not examined.

(continued)

TABLE 3.1 (continued)

[a] Tracking other program statuses includes investigating SWIM-Eligibles' job search status, EWEP status, or AFDC/WIN status.

[b] General paperwork includes completing status change forms, deregistration forms, tracking system forms, state reporting forms, error corrections and miscellaneous paperwork.

[c] Two of the EDD Employment Specialists were part-time. In addition, EWEP staff worked with registrants from non-SWIM offices as well as SWIM-Eligible registrants.

Eight percent of professional staff hours were spent in connection with referring registrants to community education or training programs. This included assessing registrants for appropriate "next steps" in the program, referring individuals to education and training programs and monitoring their participation, arranging support services for participants, dealing with noncompliance in these activities and miscellaneous paperwork associated with program-arranged education and training.

Another 8 percent of professional staff hours were spent verifying the attendance of registrants in self-initiated education, training or employment. An additional eight percent of staff time was spent doing general paperwork, that is, completing status change forms, deregistration forms, automated tracking system forms, state reporting forms, and doing error correction and miscellaneous paperwork.

Finally, 2 percent of professional staff time was occupied by arranging support services for members of the control group.

B. Employment Preparation Division Staff

As of June 1986, 18 Employment Preparation Division social workers and 9 clerks staffed the SWIM program, a staffing level that remained the same throughout the demonstration.[1] Most of these social workers were not new to their positions and their job duties generally did not change when the EPP/EWEP program evolved into SWIM.

Employment Preparation Division staff were involved in a variety of activities. The largest share of the social workers' time -- 42 percent -- was spent arranging, authorizing and supervising support services for SWIM-eligible registrants throughout their program tenure. These support services included childcare and transportation for those in SWIM activities and work expense advances ("entered employment" stipends) for those who found jobs. This advance money (usually $50) was intended to defray work expense costs until the registrant received his/her first paycheck.

Another primary job duty, which occupied 25 percent of the social workers' time, was assisting with job search workshops. This component was jointly staffed and supervised by Employment Preparation Division staff and EDD staff, with EDD taking the lead.

Social workers were also responsible for registration, program orientation and post-orientation appraisals for both SWIM-eligible and control group registrants. Registration and orientation occupied 7 percent of the social workers' time; 15 percent of their time was spent on the appraisal process.

A small amount of the social workers' time -- 5 percent -- was spent providing support services to registrants in the control group. Although controls were not eligible to participate in SWIM components, both SWIM-eligibles and controls could qualify for the entered employment stipends.

Finally, 4 percent of social workers' time was occupied by noncompliance follow-up, conciliation and formal adjudication proceedings for individuals who did not cooperate with the registration, job search workshop, job club or education or training requirements.

Employment Preparation Division clerks assisted primarily with the paperwork associated with registration, orientation and appraisals.

C. EDD Staff

As of June 1986, 15 EDD employment specialists and 3 EDD clerks staffed the SWIM program. EDD staffing levels also generally remained the same throughout the demonstration.

The primary job function of the EDD employment specialists consisted of leading job search workshops, job clubs and, later, STAR. Approximately 41 percent of these individuals' time -- split evenly between workshops and job clubs as of June 1986 -- was spent on this type of work. As was the case with the social work staff, many of the EDD staff had extensive experience leading job search workshops prior to SWIM, that is, in the EPP/EWEP program. Operating job clubs and STAR, which were not part of the EPP/EWEP program, were new responsibilities for the EDD staff.

The authorization of support services in connection with job search workshops and job clubs accounted for over one-quarter of EDD employment specialists' staff time. Over one-fifth of their time was spent dealing with noncompliance in these activities.

EDD clerks assisted primarily with the paperwork associated with assigning individuals to job search activities ("enrolling" individuals in EDD) and providing support services.

D. EWEP Staff

EWEP staff, who were part of the Workfare Division, were not located in the office space shared by the other staff units involved in SWIM but co-located with Income Maintenance (IM) staff. EWEP staff in four IM offices -- Southeast, South Bay, Northeast and Kearny Mesa -- served SWIM registrants.

Among these four offices, approximately 12 EWEP job development counselors and 6 EWEP clerks served SWIM clients. Although the overall level of staffing remained relatively stable throughout the period in which SWIM operated, SWIM registrants constituted varying proportions of the total EWEP caseload in each office, depending on the IM district. (These offices served registrants from non-SWIM offices as well.) For example, practically all EWEP referrals to the Southeast IM office were SWIM registrants; and approximately 90 percent of the SWIM registrants scheduled for EWEP orientations were referred to that office. Very few of the referrals to the Kearney Mesa office were SWIM registrants.

A breakdown of the EWEP staff time accounted for by SWIM registrants is shown in the Table 3.1. The largest portion of EWEP counselors' time -- 44 percent -- was spent conducting EWEP orientations, developing and monitoring worksites, placing registrants at worksites, monitoring and counseling EWEP participants, and making initial contact with registrants who failed to show up at worksites or stopped working.

EWEP program reporting functions accounted for a little more than one-quarter of the counselors' time. This reporting refers to the preparation of specific EWEP forms (e.g., the monthly EWEP logs) and miscellaneous paperwork not associated with EWEP placement, counseling, arrangements for social services or noncompliance follow-up.

Seventeen percent of staff time was spent on support services arrangements for EWEP participants. This included assessments and counseling concerning support services and the paperwork associated with authorizing childcare and transportation payments.

A relatively small proportion of time -- 12 percent -- was spent on dealing with EWEP noncompliance. This included issuing formal adjudication forms, conciliation and initiating sanctioning procedures.

The primary function of the EWEP clerks was to assist with all types of paperwork associated with EWEP. Some of the central office EWEP clerks also assisted with random assignment.

E. SWIM Staff

SWIM Division staff, known as the Coordination and Referral Unit (CRU), served several functions within the program. These staff members conducted assessments for registrants who had completed job search and/or EWEP, made referrals to community education and training providers, and kept track of the activities of SWIM-eligibles throughout the program via the SWIM automated tracking system.

CRU staff consisted of Job Developer Counselors (JDCs) and clerks. In any given month, ten or 11 JDCs staffed the program. The number of SWIM clerks staffing the program increased over time, however, from two clerks in October 1985 to six clerks in August 1986.

Unlike other staff involved in SWIM, CRU staff had little or no experience with the county's previous work/welfare programs. Many of these individuals were recruited from outside the county welfare department; and among those with previous county experience, only a few had been involved in EPP/EWEP. Many of the CRU staff, however, had worked in some capacity as job counselors in the San Diego area and had extensive community service program contacts.

Tracking registrants' activities and monitoring participation were the predominant job functions of the JDCs. Over one-third of the JDCs' time was occupied in this manner. These types of activities included time spent investigating registrants' job search status, EWEP status or welfare/WIN status, if this information was not clear in the automated tracking system. Also included was time spent verifying registrants' participation in activities which had deferred them from regular SWIM activities -- that is self-initiated education and training -- as well as verifying employment.

About one-quarter of the JDCs' time was occupied by general paperwork not specifically associated with any of the program components. This included completion of deregistration forms, SWIM automated tracking system data entry forms, state reporting forms, tracking system error correction forms, and miscellaneous paperwork.

Another quarter of the JDCs' time was spent working with registrants who had reached the education and training portion of the program model. In this capacity, the JDCs conducted assessment interviews to determine the suitability of registrants for ISESA or education/training activities, located various education and training programs, referred registrants to these programs or to the ISESA component, monitored the participation of those referred, counseled the participants, and completed all paperwork associated with these activities.

JDCs also spent a small amount of time interviewing registrants in order to complete the Client Information Sheet, a research document which obtained registrant demographic information. This activity took up 10 percent of the JDC's time.

These staff spent minimal time completing miscellaneous paperwork (3 percent) and dealing with noncompliance in education and training activities (1 percent).

CRU clerks assisted with the paperwork associated with several types of activities. As of June 1986, when four CRU clerks staffed the program, the majority of clerk time was spent assisting with general program tracking and attendance monitoring duties associated with case management. When two more clerks were added to the CRU staff, the clerks were able to take on more of the clerical tasks involved in case management. By the beginning of 1987, CRU clerks had taken over the JDCs' responsibility for verifying registrants' employment and were providing assistance in verifying the attendance of those in self-initiated education or training.[2]

During the period of random assignment almost one-quarter of CRU clerk time was spent randomly assigning registrants to the control or SWIM-eligible group or checking whether a new registrant had previously been assigned to one of these groups.[3] As of June 1986, a small amount of CRU clerk time was spent assisting with the monitoring of program-arranged education and training program attendance (7 percent), assisting with registration and orientation (5 percent) and miscellaneous paperwork associated with education and training (3 percent).

F. Employment Training Division Staff

Generally two Job Developer Counselors from the Employment Training Division led the ISESA workshop component throughout the SWIM demonstration. Additionally, approximately ten Job Developer Counselors were involved in developing on-the-job training positions for welfare recipients. These staff did not work exclusively with SWIM registrants and were not part of the MDRC time study of staff job functions. However, interviews with the ISESA workshop leaders indicated that their ISESA job duties consisted of many of the same activities EDD staff performed in connection with job search workshops: leading the job search sessions, arranging for support services, and following-up on non-attenders.

III. Coordination Among Staffing Units

When SWIM started, there was some confusion among staff as to the roles of the various sets of program staff. "Older" staff were initially unsure of the responsibilities of the CRU staff, who were added to the staffing configuration which existed in the EPP/EWEP program. Some of the social work staff, in particular, viewed the CRU staff as taking over their role. In time, roles became better defined between the two sets of staff and coordination improved. It should also be noted that coordination per se involved little more than making referrals to other staff once a registrant completed an activity.

IV. Case Management Procedures

Two general models of case management exist, with some programs using a hybrid of the two. In some programs, a single staff person has contact with each registrant to perform assessments and provide support throughout the registrant's program eligibility. In other programs, registrants are referred from one set of staff to another as they progress through the program model.

The SWIM case management structure is an example of the second type. As indicated by the previous discussion, different sets of staff were responsible for registrants as they progressed through SWIM. Throughout the program, however, the Employment Preparation Division staff monitored childcare arrangements, while the CRU staff made sure that all registrant activity was recorded in the SWIM automated tracking system.

Registrants generally progressed smoothly through the program. Several factors facilitated this achievement. First, the county had operated the EPP/EWEP program, using this method of case management, for three years prior to the start of SWIM. Consequently, many case management procedures were firmly established and staff were familiar with them prior to SWIM. Second, the fixed-sequence nature of the pre-assessment portion of the SWIM program model -- job search followed by EWEP -- made referrals between components almost automatic. Until a registrant reached the assessment stage, the program model afforded staff with little opportunity for discretionary decisionmaking concerning next steps for the registrant.

As evident from the above discussion, the caseloads of most staff consisted of all registrants referred to their portion of the program model. Once registrants completed a specific activity -- for example, job search workshop -- they would leave the caseload of their workshop leader and become part of the caseload of an EWEP counselor.

CRU staff caseloads were the exception: Individuals were assigned to CRU staff caseloads when they registered with the program and remained in the CRU caseload until they deregistered from the program. For each individual in their caseload, CRU staff were responsible for ensuring that the automated program tracking system reflected all activity from registration through deregistration, regardless of the activities of the registrants. CRU staff also verified the continuing employment of working registrants, monitored the attendance of those in self-initiated education and training, and assessed and referred to education and training programs any individuals who reached this stage of the model.

Given these responsibilities, CRU caseloads grew over the course of the demonstration as the WIN-mandatory caseload was progressively phased into the program. In December 1985, for example, CRU caseloads averaged approximately 197 registrants.[4] Over the following year, CRU caseloads averaged 214 in February 1986, 250 in April 1986, 294 in June 1986, 331 in

August 1986, and 328 in December 1986. At this point it was clear that CRU caseloads were too big. Registrants who were working while in the program were transferred to clerk caseloads, and all individuals in self-initiated education or training were consolidated in the caseload of a single JDC. As a result, CRU caseloads dropped to approximately 260 in March 1987 and 246 in June 1987.

For the CRU staff, SWIM case management involved the SWIM automated tracking system. This system was designed in early 1985 to aid in case management, as well as to provide data for the research. Data were entered into the system from individual data input documents completed by the CRU staff and from program activity logs (that is, job search workshop, job club and EWEP attendance logs). The major data items in the system were activity type, provider codes and dates of activity referrals, starts, interruptions and completions. Status information -- such as registration and deregistration dates, and reasons for deregistrations -- were also recorded in the system. In addition to recording changes in registrants' program activities or statuses, the system was designed to record verifications of registrants' continuing activity in order to provide case management information to program staff.

The reality was different from the design, however. The tracking system, in fact, functioned primarily as a data depository and not as an interactive system that could aid in case management. The county did not have the staff or resources to develop computer routines that would allow staff to make extensive use of the system for case management. For example, the system did not have a working "tickler" function to provide staff with lists of registrants in their caseloads who required that some action be taken during particular weeks. To identify registrants requiring follow-up, CRU staff had to scan computer output which listed, in chronological order, the 20 most recent entries for each registrant in their caseload. (Examples of entries would be start dates, interrupt dates or end dates for various activities.) Additionally, the county was unable to program automated edits -- computer routines which could have identified missing or incorrect entries to the system. Instead, to determine if all registrant information was accurately recorded in the system, CRU staff would periodically review these caseload activity reports and assess whether the activity entries for each registrant made sense and looked complete. Staff would also compare information on activity logs to the information found in the system.

V. Staff Attitudes Toward the Program

Overall, program staff reacted favorably to the SWIM program model. Among interviewed staff who had worked in the EPP/EWEP program, most welcomed the opportunity to work with welfare recipients as well as applicants. Additionally, the majority of the Employment Preparation Divison, EDD and EWEP staff supported the addition of the CRU job functions to the EPP/EWEP model. They perceived CRU staff's role as consisting of referring registrants to education and training as well as keeping detailed records of registrants' activities.

Interviews also indicated that staff were aware of SWIM's 75 percent participation goal and perceived it to be an achievable one. However, staff did not pay much heed to it. In the first place, they believed both that they were working with all registrants referred to their particular program component and also that they, in turn, referred all those who completed their component to the next component in the program model. Staff who had been involved in the EPP/EWEP program indicated that they had operated in a similar manner prior to SWIM. In the second place, they had no way of knowing the extent of participation in SWIM.

In fact, CRU staff were the only staff members who could have had a sense of the extent to which program eligibles were participating in SWIM, by virtue of their overall activity tracking role. CRU staff did not focus on this, however, for two reasons.

First, as was clear in interviews, CRU staff did not generally think in terms of the proportion of their caseload who were participating during a given month. Like other program staff, CRU staff reported that they were generally working with all registrants who reached the education and training stage of the model. (However, in the later months of the demonstration, some CRU staff indicated that their large caseloads were starting to prevent them from working with all registrants.) From the perspective of the staff, a registrant would be considered active even if he/she was in the process of being assessed, assigned to a component that was to begin the following month, awaiting verification of participation, in a conciliation status or pending deregistration. These registrants would be considered "worked with."

Second, due to programming problems with the county computer routines that produced estimates of monthly participation rates, these rates were communicated infrequently to program staff. Consequently, staff were not aware of how far they were from the 75 percent demonstration goal on a regular basis.

Morale among most staff units involved in SWIM was high. Employment Preparation Division staff, EDD staff and EWEP staff perceived SWIM as an extension of the EPP/EWEP program which involved little change in their daily work responsibilities. Additionally, these staff felt that they were involved in a successful program. Not only did they see registrants finding jobs, but they also felt that the earlier MDRC evaluation of the EPP/EWEP program confirmed that, in fact, their portion of the program "worked." Lastly, most staff perceived SWIM as the precursor to California's Greater Avenues for Independence (GAIN) program (see description in Chapter 1). This added to staff's sense of the importance of their work.

CRU staff members were the exception; their morale was not as high. Most of the JDCs had anticipated that their jobs would entail extensive registrant contact and counseling. In reality, as noted above, program tracking and monitoring functions consumed the majority of CRU staff time. One reason for this was that many registrants found jobs or left welfare for other reasons before reaching the education and training portion of the program model. Thus, the number of registrants who required assessment and placement in community programs was limited. Another reason was that CRU staff spent a good deal of time ensuring that the automated tracking system contained complete and accurate information and registrants were not getting "lost" in the program. Although the automated SWIM tracking system was intended to aid in this task, as noted, program resources were not available to develop computer routines that would allow the tracking system to do some of the clerical work performed by the CRU staff.

CHAPTER 4

THE NATURE OF PROGRAM SERVICES

This chapter describes each type of service provided in SWIM. The first section describes registration, orientation and appraisal procedures. The second examines job search activities, regardless of when they occurred in the model. The third presents details on the EWEP program. The fourth addresses the nature of education and training activities in SWIM. The final section summarizes the support services available in SWIM.

I. Registration, Orientation and Appraisal

As noted in Chapter 2, the first step in the SWIM program model was WIN registration. All WIN-mandatory applicants and recipients recently determined to be WIN-mandatory were informed of their need to register with the program during interviews with Income Maintenance (IM) staff.[1,2] Recipients who were renewing their previous WIN/EPP registration were informed of the need to reregister and given registration appointments by social workers through the mail. Staff identified individuals who were required to reregister through lists generated by the county's automated welfare eligibility system.

Program registration was mandatory for all of these groups. If applicants did not register, their application for aid could be denied. Recipients could be sanctioned for not attending their registration appointment. IM staff were responsible for identifying applicants and redetermined recipients who failed to register; social work staff were responsible for identifying renewal recipients who failed to register. Renewal recipients were given two chances to show up for registration. After two sequential missed appointments, individuals would be requested to attend a determination interview ("determining" whether the individual had a legitimate cause for missing the appointments).[3] Generally, if an individual attended an appointment at any time during this process, including the determination interview, the individual would be determined to have a "good" cause. If an individual never responded to the appointment requests or never contacted a social worker, a sanction would be requested.

Approximately 25 individuals were scheduled for each registration/orientation session at each office.[4] Upon arrival for the registration appointment, the first one-on-one contact with program staff would be with Coordination and Referral Unit (CRU) staff.[5] Staff would meet for several minutes with each individual to complete the one-page Client Information Sheet which elicited demographic information for the research.[6]

The next step in the process involved completing several forms during a group orientation session.[7] Orientation sessions, conducted by social workers, lasted from 20 to 40 minutes. The purpose of the orientation was to describe the program, explain the registrants' rights and responsibilities, and provide information on available social services.

Program descriptions given during orientations were brief and low-key, however, with the emphasis on finding jobs through job search workshops; little attention was paid to explaining welfare or WIN/SWIM procedures. The existence of other program components also was not stressed: EWEP was mentioned briefly, if at all, and references were rarely made to possible education or training opportunities. Thus, registrants were given little indication that the program required participation for as long as they remained on welfare.

Following orientation, all registrants were individually appraised by social workers.[8] For registrants who had been assigned to the control group, these appraisals were more like exit interviews: Social workers asked about the families' health, any housing problems, and whether there were any barriers preventing the registrants from seeking work. Social workers also reminded registrants that they were entitled to "entered employment" money and supplies if they found jobs. At the conclusion of the interviews, controls were told that they had met their program (WIN/SWIM) obligation and were free to leave. There was no further contact between the controls and program staff unless it was initiated by the registrant at a later date, for example, to request help with social services or obtain "entered employment" monies.[9]

For registrants who were eligible to receive SWIM services, the appraisal included a determination of their ability to participate in job search workshop, job club or EWEP; an evaluation of current registrant-initiated education/training or employment; and the identification of social service needs. Childcare was also discussed, but not arranged, during this interview.

At the conclusion of the appraisals, which generally lasted between five and 20 minutes, SWIM-eligible registrants were assigned to a program activity, referred to CRU staff, or, very infrequently, deferred from all program participation. The guidelines used to make these assignment or deferral decisions are outlined below.

If, during the course of the interview, social workers determined that registrants had no barriers to participation and had not participated in a job search workshop within the previous year, registrants would be referred to EDD staff for assignment to a workshop.[10] Registrants who had previously participated in a workshop, but not in EWEP, were assigned to the job club component, along with EWEP. Registrants who had previously participated in both workshops and EWEP were assigned only to the job club component.

Registrants who were identified as currently involved in an education or training program that met the program's deferral standards concerning type, intensity and duration were referred to CRU staff. Registrants who were employed at least 15 hours per week were also referred to CRU staff.

Registrants referred to CRU staff were interviewed shortly after their appraisal. CRU staff requested information from registrants for use in verifying their education, training or employment on a periodic basis and completed a tracking system form to record this self-initiated activity. At this interview CRU staff usually counseled registrants about better job opportunities in their field if they were employed, or encouraged registrants to remain in their education/training program if they thought it was an appropriate one for the registrant.

If a registrant was identified during appraisal as an undocumented worker, an individual excluded from the welfare assistance unit ("excluded parent"), or a registrant requiring assistance from a social worker to remove an impediment to participation, he/she could be deferred from all program participation.[11] Otherwise, every registrant was assigned to some program component.

A review of the program case files of a random sample of 242 individuals who registered with the program between January and March 1986 indicated that only a small group -- 7 percent -- were deferred from all program participation at the conclusion of the appraisal. Among this small group, over two-fifths were undocumented workers. The only other sizable group -- 14 percent of those deferred -- had a disability or health problem. The remaining deferrals reflected a variety of situations.

Individuals assigned to program activities at the conclusion of the appraisal interview were scheduled for the first available session of the activity following the appraisal. Registrants were generally assigned to job search workshops which were scheduled to begin approximately three weeks later. Similar time lags existed between appraisal and initial job club sessions and EWEP orientations.

II. Job Search Activities

Four different types of job search activities were part of the SWIM program model: job search workshops, job clubs, STAR and ISESA. This section briefly describes each.

A. Job Search Workshops

Two-week job search workshops were the first program activity for many registrants. These were held both in English and Spanish. All workshops used the same materials and essentially the same format. New workshops in English were begun each week in each of the two SWIM offices. According to staff these averaged 10 to 18 registrants. Workshops in Spanish were begun once a month in each of the two offices. These averaged 20 to 30 registrants.

The first week of each workshop consisted of structured group instruction, focusing on skills assessment, goal setting and the completion of employment applications. Participants were taught in daily sessions how to write resumes, locate job leads, handle an interview and use the telephone to obtain appointments.

In the second week, participants were expected to make contacts with prospective employers. For the English-speaking workshops, participants worked in a room with a bank of telephones, generally for two hours a day, placing calls to prospective employers and setting up job interviews. There was no set quota of calls, but participants were expected to contact from ten to 20 employers daily. Instead of the usual telephone room work, Spanish-speaking registrants were required to make three in-person employer contacts per day. Their limitations in English made blind calls to prospective employers impractical.

After completing the workshop, individuals who had failed to find employment were scheduled for job club and/or EWEP orientation. Registrants were assigned to job club sessions scheduled to begin between two and four weeks later. The lag between the end of the workshop and EWEP orientation was generally similar.

B. Job Clubs

Registrants could be assigned to job clubs separately, or in conjunction with an EWEP worksite assignment. Job clubs, which consisted of biweekly two-hour job search sessions, were not part of the EPP/EWEP program model in San Diego. This component was added to the program model for several reasons. First, program planners viewed job clubs as a way to improve the monitoring of participation while registrants were in EWEP. (Staff could inquire about EWEP participation on a biweekly basis, during the job club sessions.) Second, job clubs were intended to officially mandate job search on the one day each week that registrants were not required to participate in EWEP. Lastly, job clubs were viewed as a way of maximizing registrants' participation following job search workshops. Since registrants usually did not begin to participate at EWEP worksites until four to six weeks after the end of the workshops, job clubs were viewed as a component which could fill this gap. The job club component operated from the beginning of SWIM through December 1986.

Between eight and 12 registrants attended each job club session. The content of the job clubs changed over time in both SWIM offices, eventually evolving into a combination of motivational exercises, use of EDD computer listings or JDU job banks for job leads, and repeated telephoning to prospective employers. Leadership and duration of the job club component differed between the two SWIM offices. In one office, the leadership of the job club sessions rotated among all staff and registrants would be required to attend job club sessions as long as they remained in EWEP, regardless of how long that was. In the other office, one job club leader was designated for several months at a time and registrants would be required to attend job club sessions for a 90-day period.[12]

Upon completion of the job club component (provided that the EWEP assignment was also completed), registrants were either scheduled by CRU staff for an assessment interview at a later date or assessed on the day of the last job club session.

Almost from the beginning of SWIM, program managers and line staff were not pleased with the job club component. According to staff, registrants' job search workshop groups were not kept intact during the job clubs, group cohesiveness failed to develop in job club sessions, and the component did not seem to motivate registrants to look for jobs. Registrants also seemed to staff to be confused when assigned to two program activities -- job clubs and EWEP -- at the same time. Finally, only about one-third of the registrants assigned to job clubs attended. For some registrants, job club sessions interfered with family matters that registrants needed to take care of during their one day off from EWEP. It is interesting to note, in light of these staff perceptions of ineffectiveness, that quite a few sanctions were imposed for noncompliance in job clubs.

The county stopped operating job clubs in December 1986. The component was replaced by a new activity, Skills Techniques Achievement Reviews (STAR), in January 1987.

C. STAR

STAR consisted of intensive supervised job search for a maximum of 13 days between the time a registrant completed job search workshop and attended EWEP orientation. Every other day during this period, registrants attended group motivational sessions for two to three hours. On the non-group days, registrants were required to look for work on their own. Job search workshop groups were kept intact for STAR, and the job search sessions were led by registrants' previous job search workshop leaders. In essence, this component stretched the job search workshop component into a four-week workshop, incorporating more individual job search.

D. Noncompliance in Job Search Workshops, Job Clubs and STAR

Employment Development Department (EDD) staff handled noncompliance in these three activities, as noted earlier. Staff took action on the following types of situations: failure to attend workshops, job clubs or STAR; spotty attendance (one or more days missed with no good cause); and dropping out.

The activity leader of each of these activities was responsible for monitoring participation among the registrants scheduled for the activity. For example, the job club leader of a particular session would follow-up on those who failed to attend that session. Registrants were allowed to be automatically rescheduled once if they initially failed to show up at an activity. After the second failure to attend, registrants were referred to an EDD determinations specialist and a determination interview was scheduled.

If a registrant attended the interview and was "determined" to have a legitimate reason for failing to attend, the registrant was assigned to the next scheduled session of the activity. If a registrant attended the interview and was found to have no legitimate reason for noncompliance, a conciliation agreement was drawn up between the EDD determination specialist and the registrant. This agreement, which usually stipulated participation at the next scheduled session of the activity, represented the registrant's "last chance." If the registrant violated the agreement, the EDD worker would request that IM impose a sanction. If the registrant adhered to the agreement, the determination process ended. Later noncompliance would start the process over again.

For registrants who failed to attend the scheduled determination interview, EDD staff generally tried to contact them or their IM workers to see if they had left welfare or were no longer WIN-mandatory. If a registrant could not be reached and still appeared to be WIN-mandatory, a "silent" determination would be conducted. In other words, paperwork was completed indicating that the registrant failed to attend the interview and was therefore determined to have no legitimate reason for noncompliance. Following this type of determination, a sanction would be requested.

Throughout the above procedures, EDD staff continued to encourage registrants to participate. Staff would repeatedly try to contact registrants if they failed to attend a determination interview. Staff were also quite liberal in their definition of legitimate reasons for noncompliance. If at all possible, staff tried to conciliate with registrants rather than request that they be sanctioned.

E. ISESA

Individualized Supervised Employment Search Activity (ISESA) began in November 1985. This activity, which was a post-assessment option in the SWIM model, consisted of job search workshops, held one day per week, for a period of 13 weeks. ISESA was funded through JTPA and operated by the Job Development Unit (JDU) within the county welfare department. The activity was designed for SWIM registrants, and almost all participants were referred by CRU staff.

ISESA was an open-entry, open-exit program; registrants could start attending sessions at any point during the 13-week curriculum. Registrants initially attended a short orientation session and then were assigned to a weekly session. Between ten and 20 registrants attended each session and, depending on numbers, registrants were occasionally divided into AFDC and AFDC-U groups. The workshop sessions varied in length, depending on the material to be covered and registrant interest, but never lasted more than a few hours.

As part of each ISESA session, registrants worked with JDU job developers to identify possible job openings, either unsubsidized jobs or on-the-job-training (OJT) positions.[13] Between weekly sessions, registrants were expected to make ten job applications, some of which were verified by the group leader.

As a recipient of JTPA funds, the JDU was subject to JTPA performance standards. In order to assist the JDU in meeting their goals, SWIM program guidelines specified that registrants who had a high school diploma or an employable skill were to be referred for job search, preferrably through the JDU but possibly through EDD, following assessment. Some CRU staff, however, disregarded this guideline as not being in the best interest of registrants and referred some of the registrants to education or training programs.

Participation in ISESA was mandatory for all referred registrants and was monitored by JDU staff.[14] All registrants who completed the 13-week ISESA curriculum without finding a job were referred back to CRU staff for further assessment regarding "next steps."

III. Work Experience

The Employment Work Experience Program (EWEP) was a 13-week community work experience component in which participants were expected to work up to four days a week in either the public or the private nonprofit sector. The number of work hours was calculated by dividing registrants' monthly welfare grants by prevailing wage rates (based on registrants' education). Registrants were assigned to work a maximum of 32 hours per week. Hours were further restricted by the fact that one day a week was reserved for ongoing individual job search. County welfare department staff developed the worksites and subsequently monitored EWEP attendance.

Worksite developers did not experience any problems keeping up with the flow of EWEP referrals, in part because a "stock" of worksite positions had been developed through previous county programs. SWIM was the first program, however, in which worksites were developed that could accomodate individuals who spoke only Spanish.

EWEP referrals initially participated in group orientation meetings, followed by individual sessions with staff. In these sessions, registrants' work histories and possible barriers to working the required number of monthly hours were discussed. The sessions did not assess social service needs in any depth, since these presumably had been resolved earlier. At the conclusion of the session, registrants were assigned to worksites. Although location was a factor in these assignments, counselors attempted to find positions that met the registrants' interests and backgrounds. Interviews with staff indicated that very few registrants could not be assigned to a site.

EWEP staff handled noncompliance in the component by monitoring two aspects of EWEP: attendance at the initial EWEP orientation and participation at worksites. Registrants were generally rescheduled for an orientation if they missed the initially scheduled one. If they missed the second date, however, the determinations process began.

Attendance at worksites was monitored through time sheets, completed by worksite supervisors at the end of each month and mailed to EWEP staff. According to staff, any more than three missed days of a monthly worksite assignment usually prompted a call or notice to the registrant and a request for a determination/conciliation interview.

During the determination interview, a concilation plan would be developed. Conciliation procedures, which were added as a result of legislation which allowed San Diego to continue EWEP from July 1985 through June 1987, gave registrants a second chance to cooperate before the imposition of a sanction.[15]

If a registrant did not attend the determination interview or failed to comply (for no legitimate reason) with the agreed upon conciliation plan, a sanction would be requested. As described in Chapter 1, sanctioning rules were less punitive for AFDC-U registrants who were noncompliant in EWEP as compared to those imposed for this group in the earlier EPP/EWEP program. This was another result of the above-mentioned state legislative EWEP waiver. The legislation specified that families of AFDC-U registrants who were sanctioned for noncompliance in connection with EWEP should not lose their welfare benefits. To comply with this requirement, state aid was used to continue benefits for the families of AFDC-U registrants sanctioned in connection with EWEP.

For those who completed EWEP and were still not employed, appointments for assessment by CRU staff were scheduled. At the completion of EWEP, workfare staff notified CRU staff that a particular registrant was available for an assessment. CRU staff scheduled assessment appointments with registrants through mailed notices.

IV. Education and Training Activities

Emphasis on education and training referrals to community organizations as part of SWIM was a key departure from the county's previous

EPP/EWEP program. SWIM planners envisioned that large numbers of registrants would be referred to these types of programs. In reality, this did not occur. Aided by a healthy local labor market, many registrants became employed and/or deregistered from the program before reaching the education/training portion of the model. In addition, some registrants enrolled in these types of activities on their own, thus not requiring assessments or referrals by SWIM staff.

A. Development of Linkages between SWIM and Community Organizations

Since the earlier EPP/EWEP program did not emphasize referrals to community education and training programs, the development of linkages between the SWIM offices and education and training providers began during the SWIM planning stages and continued throughout the two-year period that SWIM operated. The county started the SWIM planning process with two established relationships. The Employment Services Bureau was already receiving JTPA funds to operate the Job Development Unit (JDU) and the Employment Services Program (ESP). JDU provided on-the-job training and occupational skills training. ESP trained AFDC recipients for jobs in the health care field. However, planners anticipated that these relationships would not be enough because many SWIM registrants would require additional types of services, namely, English as a Second Language (ESL) courses, Adult Basic Education (ABE) programs, GED preparation, and other types of training.

In order to investigate the types of programs provided by community organizations and ensure access of SWIM registrants to these programs, representatives from the SWIM program met separately with staff from the Regional Employment and Training Consortium (RETC, the JTPA administrative agency in San Diego) and the San Diego Community College District (which includes community college programs and continuing education centers/adult schools) as part of the SWIM planning process. These meetings primarily familiarized community organization administrators with the SWIM program; very few formal agreements between SWIM and the providers were developed.[16]

Linkages to community education and training providers were also sought through personal contacts. Many of the CRU staff, who were responsible for education and training referrals, had previous ties to community organizations. These staff were instrumental, particularly at the beginning of SWIM, in developing handbooks which described available community programs, their entry requirements and contact persons in each program. Over time, however, many staff developed their own contacts with each provider.

B. Pre-Referral Assessments

Once individuals finished EWEP and/or their required number of job club sessions, CRU staff scheduled assessment interviews.[17] Between two and ten post-EWEP (or job club) assessments were scheduled per week.

Probably as a result of the lack of education or training information presented during SWIM orientations, staff indicated that the assessment interview was often the first time that registrants became aware of the fact that they could be assigned to an education or training program as part of the program -- that is, as a condition of receiving welfare. Thus, time was taken in the assessments to explain this aspect of the program. Part of the assessment was also counseling intended to motivate the registrants. Staff noted that registrants who had reached this portion of the model were those who had failed to find jobs through the job search workshops, job clubs and EWEP. These registrants generally had the least work experience and education, and often were the least motivated.

The assessments, which consisted of one long interview or several interviews over a period of two weeks or more, were intended to determine registrants' next steps in the program. In these interviews, CRU staff tried to get registrants to verbalize their vocational interests, by discussing registrants' work histories, reviewing registrants' prior SWIM activities, suggesting different vocational opportunities, and completing questionnaires and forms.

CRU staff would base their referral decisions on several factors. Skilled registrants, those with a recent work history, or registrants who were more eager to find a job than enter skills training, were often referred to the JDU for the ISESA component. Spanish-speaking registrants were generally referred to English as a Second Language classes, often concurrently with job training if the registrant could speak some English. Several CRU staff emphasized ABE and GED classes if the registrant lacked a high school diploma.

To varying degrees, depending on the CRU staff person, registrants were referred to community college vocational counselors for vocational assessments.[18] Counselor recommendations were given to the registrants to take to their CRU worker; these counselors did not make direct referrals.

Once a referral was agreed upon between registrant and CRU worker, a one-page employment and training plan would be completed and signed by both the registrant and the CRU worker. CRU workers would then either just send the registrant to the provider with a referral form, call a personal contact at the provider agency to inform them of the impending referral, or occasionally "walk" the registrant over to the provider.

In interviews, staff indicated that they were able to find suitable programs for all assessed registrants. First, education and training providers rarely rejected a referred registrant due to unsuitability for a program. This was at least in part because CRU staff were always careful to review any eligibility requirements imposed by the provider before making a referral, since a rejection would start the entire assessment/referral process over again. Second, providers rarely rejected a referred registrant due to a lack of program "slots." Community resources were sufficient to absorb all referred registrants.

Interviews with staff indicated that they scheduled assessments for all registrants who completed the earlier components. However, many registrants, at times as many as half, failed to attend their originally scheduled assessment.[19] If the registrant attended any of the several subsequent appointments scheduled as a result of the initial no-show, the assessment interview would be held at that time if the CRU worker was available.

However, according to the CRU staff, rarely were registrants sanctioned for failure to attend the assessment: Most registrants eventually cooperated and therefore staff were hesitant to refer registrants to the social workers to begin the adjudication process. Although interviews with CRU staff indicated that they could not easily characterize registrants who tended to miss assessment appointments, about half of the staff noted that no-shows tended to be those who had been noncompliant in previous SWIM components.

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IV. Education and Training Activities

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C. Types of Community Programs Utilized

As a result of the assessment interviews, registrants were referred to either ISESA at the JDU or to community providers of education or training. The majority of those referred to community providers were referred to education programs, as opposed to training programs. For both education and training, programs within the community college system were used much more frequently than JTPA programs. SWIM registrants often did not meet the entry requirements of JTPA contractors.

Interviews with CRU staff and periodic reviews of registrants' case files indicated that among those referred to education programs, almost half were referred to ESL classes; about one-third were in GED preparation courses; and the remaining registrants were referred to ABE programs. Those referred to training courses were enrolled in a variety of programs, including nursing aide, accounting, autobody repair, security guard, electronics, front desk clerk and computer training.

Registrants were referred most commonly for services to branches of the San Diego community college continuing education system, which historically has had extensive experience in providing services to low-income individuals. SWIM registrants were enrolled in the regular curriculum. In fact, SWIM-referred students were a very small proportion of all students at these centers.

The continuing education centers offered a variety of programs and courses: ESL, ABE, GED, and various vocational programs (including vocational ESL). All programs were open entry and open exit. The hours of training or instruction varied, depending on the type of program.[20] Students generally progressed at their own pace; thus length of stay in the program varied by individual.[21] The type of instruction -- group sessions or individual study -- also varied by program. Vocational training programs were likely to involve a combination of lectures and "laboratory" work. ABE courses tended to involve individualized instruction. Due to the wide range of courses offered at the continuing education centers, few entry requirements existed. If individuals referred to a vocational training program did not have sufficient language or reading skills, they were placed in an ESL or ABE course until their skills reached the required level.

Starting in January 1987, another referral option became available to CRU staff. Using JTPA Title II-A 8-percent monies, the county established three learning center laboratories as a pilot project for GAIN. In total, the learning centers could serve 100 individuals, divided fairly evenly among the three sites. SWIM registrants were given priority for the 100 program "slots."[22]

The laboratories operated on an open entry/open exit basis and used a computer-operated competency-based curriculum. Individuals remained in the laboratory between two and five hours daily. All students in the program were WIN-mandatory AFDC or AFDC-U recipients who had been referred to the program by county welfare staff. The majority of those in the program were SWIM registrants.

D. Procedures Used to Monitor Attendance

In general, staff monitored attendance, not progress, in education and training programs. Most CRU staff monitored participation by mailing school verification forms to referred registrants with instructions to have school staff verify participation. Registrants would obtain a school staff signature and return the forms to the CRU worker by mail.[23] These verification forms were generally issued shortly after the initial referral to determine whether the registrant had initally enrolled, and every 30 to 45 days after the referral. There were, however, some variations to this procedure.

At one continuing education branch, the daily attendance of SWIM-referred individuals, as well as the progress registrants were making, was monitored by teachers and reported monthly to the CRU worker who served as the branch liason. In this way, CRU staff were aware of absentee problems as well as the progress of registrants referred to this branch.

A few CRU staff members occasionally relied on registrants to certify their participation in education or training programs. Other staff members noted that they occasionally checked attendance through periodic telephone calls to the schools. With the exception of the school in which daily attendance was reported, school staff rarely initiated contact with SWIM staff concerning attendance problems; school staff would simply note on a subsequent verification form that the student was no longer in attendance.

Interviews with CRU staff indicated that once a registrant began a SWIM-referred activity, they rarely dropped out without good cause. However, some staff noted that it frequently took a while for referred registrants to attend a program. The most common reasons for registrants dropping out of programs or having prolonged absences included health, transportation, childcare or family problems.

If a lack of attendance was identified, staff requested that registrants attend meetings in the SWIM office to discuss their situation. In these meetings, staff investigated the reason for the participation problems and warned registrants that they could be sanctioned for lack of cooperation. Some staff would refer to the Employment and Training Plan signed at the assessment as a "contract" and tell registrants they had a contractual obligation to live up to the agreement.

However, failing to attend or dropping out of an education or training program was not, in and of itself, grounds for sanctioning. CRU staff could refer registrants to social workers for sanctions only after the registrant had missed two sequential office appointments. Social workers then scheduled a reappraisal interview. If two of these interviews were missed, a sanction could be imposed.[24]

E. Treatment of Individuals who Completed Education/Training Programs

Generally, if a registrant completed an education or training program without finding a job, he/she was assigned to another SWIM component. Often CRU staff referred these individuals to job search activities, provided by a variety of agencies. However, most CRU staff indicated that registrants often found jobs on their own once they completed a program.

F. Self-Initiated Education and Training

Registrants could enroll in education and training activities, on their own intiative, at any point during their SWIM tenure. If these activities met program guidelines, participants were deferred from other types of SWIM activities. Education programs were approved (as a deferral activity) if the registrant was enrolled for at least nine semester units at an accredited institution of higher education. Training programs were approved if the registrant was in the last semester of training or in the final four months of training (if the school did not operate on a semester basis).[25]

Reviews of registrants' case files indicated that self-initiated individuals were enrolled in such training programs as word processing, nursing assistance, refrigerator repair, cosmetology, electronic repair, and security guard licensing. Among those who were enrolled in education programs, about half were taking college-level courses.

The extent to which SWIM "encouraged" registrants to enroll in education or training programs, on their own initiative, cannot be easily assessed. Interviews with program staff indicated that over the course of the demonstration, registrants became increasingly aware that self-initiated activities would defer them from program-arranged components. If a registrant inquired about education or training opportunities during his/her post-orientation appraisal, staff explained that referrals to these types of programs would be made later in the program model but that registrants could enroll themselves in these types of programs at any time. Staff also explained, however, that support service monies could not be paid to registrants who enrolled on their own.

The majority of registrants in self-initiated education or training were attending programs provided by the community college system; very few were in JTPA programs. Regardless of the provider, case file reviews indicated that the majority of those in self-initiated programs were in training rather than education programs.

The attendance of individuals in self-initiated programs was monitored, every 30 to 45 days, through school verification forms mailed to the students. Students were required to obtain a school staff signature on the form and return it to the CRU staff. According to staff interviews, very few self-initiated registrants failed to comply with the verification procedures.[26]

V. Support Services

In SWIM, several types of support services were available: transportation monies, incentive payments, "entered employment" payments and child-care reimbursements. As illustrated by Table 4.1, however, these allowances and support services were not available to registrants participating in all SWIM components. This section of the chapter summarizes these services by type.

A. Transportation

Registrants participating in job search workshops, job clubs, STAR, EWEP, ISESA and program-referred training were eligible for transportation payments through EDD and the welfare department. Participants in program-referred education or self-initiated education/training as well as those employed while registered were not eligible for these monies.

Registrants participating in job search workshops, job clubs, STAR, and program-referred training were automatically paid $5 per day of attendance. Regulations concerning EWEP transportation payments changed over time. Prior to September 1986, EWEP participants who used public transportation were paid approximately $2 per day of attendance at a worksite; those who used their own cars were paid approximately 20 cents per mile. Starting in September 1986, reimbursement levels remained the same but the payment base became the number of days an individual was assigned to a worksite. Participants in the ISESA component were offered six bus tokens for each week of the component.

TABLE 4.1

SWIM

SUMMARY OF ALLOWANCES AND SUPPORT SERVICES, BY TYPE OF SERVICE AND COMPONENT

Component	Type of Support Service			
	Transportation	Incentives	"Entered Employment" Stipends	Childcare[a]
Job Search Workshop	$5/day of attendance	none available	$5/day, up to first paycheck (maximum = $50) plus needed tools, uniforms, books	$1.25/child/hour
EWEP	$1.60-$2.00/day for bus travel; $.20-$.21/mile for auto use; paid per participated day prior to September 1986, per assigned day as of September 1986	none available	$5/day, up to first paycheck (maximum = $50) plus needed tools, uniforms, books	$1.25/child/hour
Job Club	$5/day of attendance	none available	$5/day, up to first paycheck (maximum = $50) plus needed tools, uniforms, books	$1.25/child/hour
STAR	$5/day of attendance	none available	$5/day, up to first paycheck (maximum = $50) plus needed tools, uniforms, books	$1.25/child/hour
ISESA	some bus tokens given out	none available	$5/day, up to first paycheck (maximum = $50) plus needed tools, uniforms, books	$1.25/child/hour
Program-Arranged Education	none available	none available	$5/day, up to first paycheck (maximum = $50) plus needed tools, uniforms, books	$1.25/child/hour

(continued)

TABLE 4.1 (continued)

Component	Type of Support Service			
	Transportation	Incentives	"Entered Employment" Stipends	Childcare[a]
Program-Arranged Training	$5/day of attendance	$1.50/day of attendance	$5/day, up to first paycheck (maximum = $50) plus needed tools, uniforms, books	$1.25/child/hour
Self-Initiated Education or Training	none available	none available	$5/day, up to first paycheck (maximum = $50) plus needed tools, uniforms, books	none available
Employment While Registered	none available	none available	$5/day, up to first paycheck (maximum = $50) plus needed tools, uniforms, books	none available

SOURCE: Program documents and interviews with program staff.

NOTES: [a] During the second year of SWIM, a maximum of $250 per month per child was allowed.

144

B. Incentive Payments

Incentive payments of $1.50 per day of attendance were available only to registrants participating in program-arranged training. As was the case in the EPP/EWEP program, EDD handled authorization of these payments.

C. "Entered Employment" Payments

These payments consisted of work expense advances for those who found jobs. The money was intended to defray work expense costs until the registrant received his/her first paycheck. All registrants -- experimentals as well as controls -- were eligible for these payments. Once a registrant found a job, he/she was eligible for a work expense advance of $5 per day (up to a maximum of $50) for each working day prior to receipt of his/her first paycheck. Again, EDD authorized these payments.

D. Childcare

Childcare monies were available to registrants in all activities in the SWIM model, with the exception of self-initiated education/training and employment while registered. Individuals were eligible for these monies only while registered with the program; SWIM did not provide any "transitional" support services. These monies, paid through EDD and the welfare department, were available for all children under 14 years of age.

Participants accessing EDD child care monies (i.e., those in job search workshops, job clubs or STAR) could be paid for expenses in advance. During the first year of SWIM, $1.25 per child per hour could be paid; in the second year, regulations were changed to allow a maximum of $250 per month per child. The location of the childcare did not affect a registrants' eligibility for childcare monies; care could be provided in the child's home or the provider's home.

Participants accessing welfare department childcare monies (i.e. those in EWEP, program-arranged education or training, or ISESA) would be reimbursed for childcare expenditures; payment would not be made in advance. A maximum of $250 per month per child was allowed. To be eligible for reimbursement, the care could not be provided in the child's home.

As much as possible, program staff tried to schedule SWIM activities around the school hours of registrants' children. (As noted in Chapter 2, only 10 percent of the registrants in the generally single-parent AFDC households had any children younger than six years of age.) Staff reported that this was possible for most registrants. Rarely did staff note that they could not "place" or assign a registrant due to a lack of childcare.

However, regardless of whether a child was in school or in a special childcare arrangement while his/her parent was involved in a SWIM activity, social work staff frequently monitored the child's situation. Typically, a social worker would discuss childcare arrangements with registrants during their post-orientation appraisal interview, on the first day of a job search workshop, on the last day of the workshop, and during each biweekly job club session (which was concurrent with EWEP, if a registrant had been assigned to EWEP). Social workers contacted registrants active in education or training (either by telephone or, if the worker suspected problems, in person) every two months to discuss childcare arrangements. After each childcare discussion, social workers were supposed to complete a standard childcare assessment form which would be filed in the registrant's program case file.

CHAPTER 5

OVERVIEW OF REGISTRANT FLOW THROUGH THE PROGRAM

This chapter traces the experiences of SWIM registrants in the months following their initial program registration. The focus is on the extent to which registrants participated in the numerous components of SWIM -- job search workshops, work experience, job clubs, STAR, program-arranged education or training, or other types of job search -- as well as self-initiated education/training or employment. This analysis identifies typical patterns of service receipt among program-eligibles and informs the findings on program impacts presented in Chapter 8, by describing the extent to which individuals in the experimental group received program services. The results of a special study of the childcare arrangements of SWIM participants are also presented.

The first section of the chapter provides an explanation of the types of participation measures presented in this chapter. The second section presents an overview of the participation patterns of all SWIM-eligible AFDC and AFDC-U registrants and two important subgroups -- welfare applicants and recipients. After this broader perspective, the sequence in which registrants moved through the program model is tracked. This is followed by a discussion of the duration of services in SWIM -- whether individuals participated one day, one week or several months. The last section of the chapter presents the childcare study results.

Chapters 5, 6 and 7 use different types of participation measures in order to answer different types of research questions. Table 5.1

147

TABLE 5.1

SWIM

SUMMARY OF PARTICIPATION MEASURES USED IN THE SWIM REPORT

Measure	Definition	Questions Answered Using Measure
Longitudinal Activity Measures	These measures focus on a group of individuals who entered the program during a specified time period and follow these individuals for a certain number of months (in SWIM, for 12 months) after program entry.	What percent of registrants "ever" participated in the program? In what types of components were individuals most likely to participate? To what extent were individuals' AFDC grant amounts decreased because they did not cooperate with the program? What percent of registrants left the program?
Ongoing Participation Measures	These measures focus on a group of individuals who entered the program during a specified time period and follow these individuals for a certain number of months (in SWIM, for 12 months) after program entry. They examine the proportion of program-eligible months in which individuals participated.	To what extent did individuals participate during every month they were eligible for the program?
Monthly Participation Measures	These measures focus on the group of individuals eligible for the program during a given month and examine the proportion who were active during that month.	To what extent did the program saturate the WIN-mandatory caseload with employment-enhancing activities during a given month? In any month, what types of program services were utilized? How did the array of rendered program services change over time?

summarizes the various measures. In this chapter, longitudinal activity measures and measures of the duration of services are used. These measures indicate the percentage of registrants who "ever" (that is, within 12 months of initial registration) participated in the program, the types of components in which individuals were most likely to participate, the order in which registrants typically proceeded through the program model, and the average length of time registrants "ever" participated in the program. Chapter 6 addresses the extent to which the program implemented a continuous participation requirement. To measure this, the proportion of program-eligible months in which individuals participated is examined. Chapter 7 then analyzes the extent to which SWIM "staturated" the WIN-mandatory caseload with employment-enhancing activities. To do this, monthly participation measures are used. These represent the proportion of individuals eligible for the program during a month who were active in the program during that month.

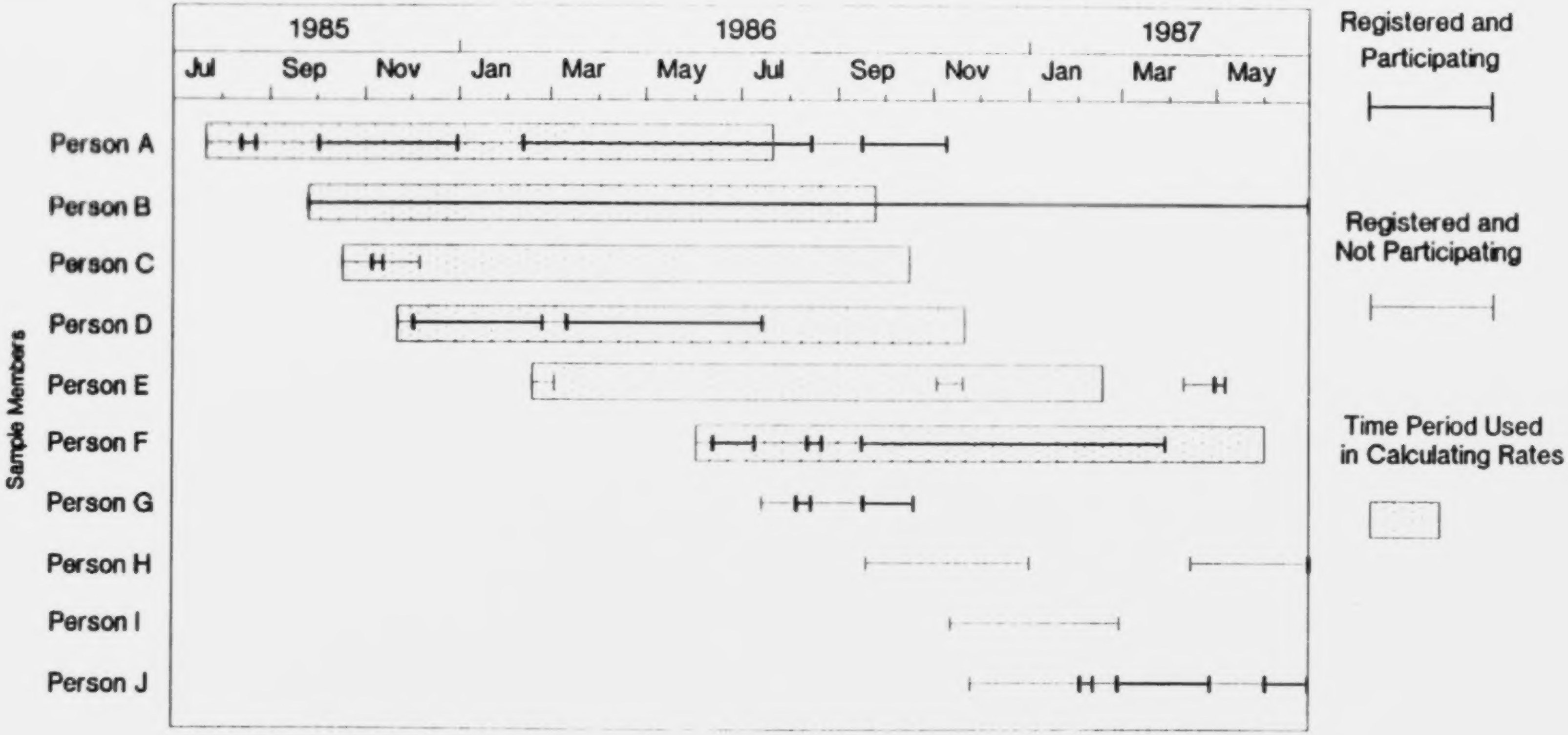
I. Explanation of Longitudinal Activity Indicators

Longitudinal activity measures focus on a group of individuals who enter a program during a specified time period and follow these individuals for a certain number of months after program entry. It is useful to begin the discussion by illustrating how the 12-month participation rates presented in this chapter are calculated. Figure 5.1 depicts the program experiences of ten hypothetical SWIM registrants. These ten individuals registered at different points in the SWIM program and had varying participation patterns after registration. In order to examine the participation patterns of all registrants for a full 12 months following

FIGURE 5. 1

SWIM

ILLUSTRATION OF TIME PERIODS COVERED BY TWELVE-MONTH LONGITUDINAL ACTIVITY MEASURES USING TEN HYPOTHETICAL SAMPLE MEMBERS



initial registration, only individuals who registered with SWIM by June 1986 can be counted. Persons G, H, I and J, who registered after this date, are excluded from the calculation of 12-month participation rates. This type of measure takes into account the activities of each registrant during the 12 months following registration. This time period, for each registrant counted in the rate, is shown by the shaded area in the figure. Thus, for the examples shown, five out of six individuals (or 83 percent) participated at some point within 12 months of registration.

These are the types of participation rates presented in the first section of this chapter, using the full sample of registrants. As in the above illustration, the focus is on those individuals who registered during the first year of the demonstration, the same sample used to calculate the program impacts presented in Chapter 8. To allow follow-up of more than 12 months, rates are also calculated for an early group of registrants, that is, those who registered between July 1985 and December 1985.

This simple participation rate, as can be seen from Figure 5.1, does not take into account the duration of services -- whether an individual participated one day, one week, one month or several months. A later section of this chapter addresses the issue of duration, using the same samples and follow-up periods.

II. Participation: An Overall Perspective

Table 5.2 presents 12-month activity indicators, using data from the SWIM automated tracking system.[1] The broadest indicator of registrant activity, shown at the top of the table, indicates the proportion of individuals who, within 12 months after registration, took part in some

TABLE 5.2

SWIM

TWELVE-MONTH ACTIVITY MEASURES FOR SWIM-ELIGIBLES, BY ASSISTANCE CATEGORY

Activity Measures	AFDC	AFDC-U
Participated in Any Component, Including Employment While Registered[a]	77.3%	74.1%
Participated in Any Component, Excluding Employment While Registered	64.4	64.5
Participated in Job Search Activities	50.6	56.5***
Job Search Workshop	41.5	49.0***
Job Club	29.6	29.8
STAR	0.7	1.0
ISESA	5.2	7.4**
Union Job Search	0.0	1.3***
Other Job Search	1.2	1.6
Participated in Work Experience	19.5	19.3
EWEP	19.1	19.0
On-the-Job Training	0.7	0.7
Participated in Education or Training	24.3	16.6***
Program-Arranged Education or Training	14.3	9.8***
Program-Arranged Education	9.0	6.1**
Provided by Community Colleges	7.3	4.8**
Provided by JTPA	0.9	0.7
Other Providers	1.4	0.7
Program-Arranged Training	6.1	4.0**
Provided by Community Colleges	2.7	2.0
Provided by JTPA	1.0	1.3
Other Providers	2.5	0.9**
Self-Initiated Education or Training	12.8	8.4***
Provided by Community Colleges	8.5	6.3*
Provided by JTPA	0.4	0.6
Other Providers	4.8	2.0***
Employed While Registered[a]	39.0	34.4**
Moved Out of the SWIM Area	8.0	8.9
Deregistered	61.5	66.3**
Due to Sanctioning	10.6	8.4
Sample Size	1608	704

(continued)

TABLE 5.2 (continued)

SOURCE: MDRC calculations from the County of San Diego Department of Social Services SWIM Automated Tracking System and EWEP attendance logs.

NOTES: The sample for this table consists of SWIM-Eligibles who registered between July 1985 and June 1986.

Activity measures are calculated as a percentage of the total number of persons in the indicated assistance category. The twelve-month follow-up period begins at the point of initial registration.

Participation is defined as attending EWEP for at least one hour or any other activity for at least one day.

A chi-square test was applied to differences between assistance categories. Statistical significance levels are indicated as: * = 10 percent; ** = 5 percent; *** = 1 percent.

[a] Program employment information is based on employment that was reported to program staff. Program employment data were not used to measure impacts.

type of activity while registered with the program. According to this definition, about three-quarters of SWIM-eligibles participated in job search workshops, EWEP, OJT, job clubs, STAR, ISESA, other types of job search, education or training, or employment that did not result in immediate deregistration from the program. This proportion was slightly higher for the AFDC's than the AFDC-U's -- 77 percent versus 74 percent. Most of this differential is due to the fact that a higher proportion of AFDC's were employed while registered with the program. This probably occurred due to the "100 hours" rule in effect for AFDC-U's. According to this rule, AFDC-U's who work more than 100 hours in a month become ineligible for welfare; the rule does not apply to AFDC's.

Evident from this participation rate is that approximately one-quarter of the sample never participated in any type of activity -- program-arranged, self-initiated or employment activity -- while registered with the program. This lack of participation could reflect several types of situations. First, many of these registrants may have found jobs which resulted in deregistration from the program before they participated in any activities. Second, some may have been denied AFDC or deregistered from the program for reasons other than employment before participating in any activities. Third, a small number may have been judged inappropriate for assignment to a program activity, for example, because they were undocumented workers. Finally, some may never have attended the program activity to which they were assigned and may have been subsequently sanctioned. These situations are discussed in more detail in Chapter 6.

The second overall indicator of registrant activity shown in Table 5.2 represents a more limited definition of participation. This rate, unlike the first rate, does not count employment while registered with the program as an activity. It shows that almost two-thirds of the SWIM-eligibles participated in some type of job search, work experience, education or training activity -- a proportion that was almost identical for AFDC's and AFDC-U's.

Slightly over half of the sample -- 51 percent of the AFDC registrants and 57 percent of the AFDC-U registrants -- participated in some type of job search activity during the one-year follow-up period. As would be expected in a sequential program model, participation rates were highest in the first component in the model, that is, job search workshops. (Many registrants were likely to leave the program before reaching the second or third components in the model.) Forty-two percent of the AFDC's and 49 percent of the AFDC-U's participated in a job search workshop.[2]

Close to 30 percent of the sample participated in job clubs. Participation in STAR, the component which replaced the job club component in January 1987, was low. This is primarily because most of the SWIM-eligibles who registered with the program prior to July 1986 were beyond the job club/STAR point in the model sequence or had left the program by January 1987. Participation in job search activities other than job search workshops, job clubs or STAR was not very prevalent among SWIM-eligibles. Most individuals who participated in other types of job search activities were active in the 90-day ISESA program. Five percent of the AFDC's and 7 percent of the AFDC-U's participated in this program.

Approximately 19 percent of both AFDC's and AFDC-U's participated in work experience during the follow-up period, almost all through the EWEP program. Only a few individuals participated in on-the-job training, which was provided through the Job Development Unit.

Overall, 24 percent of the AFDC's and 17 percent of the AFDC-U's participated in education or training activities, either program-arranged or on the registrant's own initiative.

Slightly over half of all sample members who participated in education or training activities had been placed in these activities by program staff. Most common was participation in educational programs, which included Adult Basic Education classes, English as a Second Language classes, and courses in preparation for General Educational Development examinations. Nine percent of the AFDC's and 6 percent of the AFDC-U's attended such courses, most commonly through the community college system. Six percent of the AFDC's and 4 percent of the AFDC-U's participated in program-arranged training.

Thirteen percent of the AFDC's and 8 percent of the AFDC-U's participated in self-initiated education or training activities that were both known to and approved by the program staff.[3]

According to program records, over one-third of the SWIM-eligibles were employed while still registered with the program. Part-time work, defined as 15-30 hours per week, did not lead to deregistration from the program. According to the program tracking system data, however, some of these individuals were employed full-time (more than 30 hours per week). These individuals probably remained registered with the program only until IM staff verified their employment and issued a deregistration and/or case closure.

Seventy percent of the AFDC's and 75 percent of the AFDC-U's became ineligible for SWIM services at some point during the 12-month follow-up, because they either moved out of a SWIM area or were deregistered from the program. The majority of those who exited the program did so within six months of registration; after the sixth month, the rate at which individuals deregistered from the program declined.

Over half of all SWIM-eligibles -- 51 percent of all AFDC's and 58 percent of all AFDC-U's -- were deregistered for a reason other than a sanction. Some of these deregistrations occurred when people left welfare entirely, either because they found employment or for other reasons; other deregistrations took place when clients remained on welfare but were no longer WIN-mandatory, e.g., because of the birth of a child.

Approximately 8 percent of all SWIM-eligibles moved into the jurisdiction of a non-SWIM program office within the county. Activity data for individuals served by non-SWIM offices were not collected as part of the evaluation, but these offices offered many of the same activities available through SWIM: job search workshops, job clubs, STAR, and EWEP.

Eleven percent of AFDC's and 8 percent of AFDC-U's were sanctioned for noncompliance with program requirements.[4] This proportion is higher than in most other states studied as part of the MDRC Work/Welfare Demonstration.[5]

Almost all individuals who eventually participated in SWIM did so within 12 months of registration; very few individuals began participating after the 12-month follow-up period had elapsed. (See Appendix Table C.1 for 12- and 18-month performance indicators for an early sample of registrants.) It is also interesting to note, however, that sanctioning rates increased very little with longer follow-up. As discussed in Chapter 4, this was probably because sanctions were rarely imposed for individuals noncompliant in education and training activities.

Recipients were more likely than applicants to participate within 12 months of registration.[6] (See Table 5.3.) This pattern was true for both AFDC's and AFDC-U's. Almost 57 percent of the AFDC applicants participated in job search, work experience, education or training activities, compared to 70 percent of the AFDC recipients; the analogous rates for the AFDC-U's were 63 percent and 67 percent, respectively. A similar pattern was evident for almost all types of activities within the SWIM model.

The likely explanation for these differences is a rather simple one. As shown in Table 5.3, applicants were much more likely than recipients to deregister from the program -- reflecting their higher possibility of leaving welfare and the fact that about 15 percent of the applicants were denied welfare in the first place.[7] Consequently, although both applicants and recipients were assigned to program activities, recipients were more apt to participate in them before deregistering.

However, sanctioning rates were higher for applicants than for recipients, among both AFDC's and AFDC-U's. This may reflect greater noncompliance on the part of applicants.

III. Sequences of Activities in SWIM

The discussion in the previous section indicated that although almost three-quarters of the sample members participated in some type of activity within 12 months of registration, about one-third of these participants were never active in job search workshops, the expected first component for the majority of SWIM participants. It is also true that a substantial proportion of the individuals who did attend job search workshops did not

TABLE 5.3

SWIM

TWELVE-MONTH ACTIVITY MEASURES FOR SWIM-ELIGIBLES, BY ASSISTANCE CATEGORY AND WELFARE STATUS

Activity Measures	AFDC Applicants	AFDC Recipients	AFDC Total	AFDC-U Applicants	AFDC-U Recipients	AFDC-U Total
Participated in Any Component, Including Employment While Registered[a]	71.7%	81.1%	77.3%***	71.1%	78.3%	74.1%**
Participated in Any Component, Excluding Employment While Registered	56.7	69.6	64.4***	62.6	67.1	64.5
Participated in Job Search Activities	45.7	53.8	50.6***	56.7	56.3	56.5
Job Search Workshop	38.8	43.4	41.5*	50.4	47.1	49.0
Job Club	22.3	34.5	29.6***	25.4	35.9	29.8***
STAR	0.9	0.6	0.7	0.5	1.7	1.0[b]
ISESA	2.8	6.8	5.2***	6.1	9.2	7.4
Union Job Search	0.0	0.0	0.0[b]	1.7	0.7	1.3
Other Job Search	1.2	1.2	1.2	2.2	0.7	1.6
Participated in Work Experience	15.3	22.3	19.5***	17.1	22.4	19.3*
EWEP	14.8	22.0	19.1***	16.9	22.0	19.0
On-the-Job Training	0.8	0.6	0.7	0.7	0.7	0.7[b]
Participated in Education or Training	18.1	28.4	24.3***	12.7	22.0	16.6***
Program-Arranged Education or Training	9.7	17.4	14.3***	7.8	12.5	9.8*
Program-Arranged Education	5.7	11.2	9.0***	4.9	7.8	6.1
Provided by Community Colleges	4.8	9.1	7.3***	3.9	6.1	4.8
Provided by JTPA	0.2	1.4	0.9**	0.5	1.0	0.7[b]
Other Providers	1.1	1.7	1.4	0.7	0.7	0.7[b]

(continued)

TABLE 5.3 (continued)

Activity Measures	AFDC			AFDC-U		
	Applicants	Recipients	Total	Applicants	Recipients	Total
Program-Arranged Training	4.6	7.1	6.1*	3.2	5.1	4.0
Provided by Community Colleges	2.5	2.9	2.7	1.2	3.1	2.0
Provided by JTPA	1.1	0.9	1.0	1.5	1.0	1.3
Other Providers	1.2	3.3	2.5**	0.7	1.0	0.9[b]
Self-Initiated Education or Training	9.1	15.3	12.8***	6.1	11.5	8.4**
Provided by Community Colleges	5.9	10.3	8.5***	4.2	9.2	6.3**
Provided by JTPA	0.8	0.2	0.4[b]	1.0	0.0	0.6[b]
Other Providers	3.1	5.9	4.8**	1.5	2.7	2.0
Employed While Registered[a]	37.7	39.9	39.0	31.3	38.6	34.4*
Moved Out of the SWIM Area	10.8	6.0	8.0***	10.5	6.8	8.9
Deregistered	70.0	55.8	61.5***	72.6	57.6	66.3***
Due to Sanction	12.8	9.1	10.6**	9.3	7.1	8.4
Sample Size	647	961	1608	409	295	704

SOURCE: See Table 5.2.

NOTES: The sample for this table includes SWIM-Eligibles who registered between July 1985 and June 1986.

Activity measures are calculated as a percentage of the total number of persons in the indicated welfare status within each assistance category. The twelve-month follow-up period begins at the point of initial registration.

Participation is defined as attending EWEP for at least one hour or any other activity for at least one day.

A chi-square test was applied to differences between welfare statuses within each assistance category. Statistical significance levels are indicated as: * = 10 percent; ** = 5 percent; *** = 1 percent.

[a] Program employment information is based on employment that was reported to program staff. Program employment data were not used to measure impacts.

[b] Chi-square test inappropriate due to low expected cell frequencies.

participate any further in SWIM. Many of these individuals became employed and/or left the welfare rolls, thus interrupting their program participation. This section presents the typical paths that registrants followed through the SWIM program, highlighting the effect that employment, particularly part-time employment, had on registrants' experiences in the program.

The SWIM program model specified sequences of components, depending on registrants' activities as of and prior to registration. Program planners envisioned the following major paths through the SWIM model.

The primary planned SWIM activity sequence, as noted earlier, consisted of job search workshops followed, for those who failed to find jobs during workshops, by EWEP concurrent with job clubs. For those who completed EWEP and job clubs without finding employment, referrals to ISESA and/or education or training programs were to be made. Planners envisioned that most registrants would follow this activity sequence.

Planners also expected a sizable proportion of registrants to be deferred from the job search workshops, and possibly from EWEP, because they had already participated in these activities within 12 months prior to registration. These registrants were to be assigned to job clubs (perhaps along with EWEP), followed by referral to ISESA and/or education or training programs. Other anticipated exceptions to the typical sequence included relatively small numbers of registrants who were employed as of registration, and small numbers participating in self-initiated education or training activities as of registration. Once this participation ended, these individuals were to be assigned to the primary SWIM sequence: job search workshops; EWEP along with job clubs; ISESA and/or education or training.

Table 5.4 shows the actual sequences of activities, within 12 months of registration, for individuals who registered during the first year of SWIM.[8] Note that this table records employment that occurred while an individual was registered (generally part-time work) as well as employment which had the result of deregistering an individual from the program (generally full-time work).

As planned, the most common first assignment for registrants was to a job search workshop. For 36 percent of the AFDC's and 43 percent of the AFDC-U's, the first activity in which they participated was a workshop. The next step for those who initially participated in a workshop varied. Over one-quarter found employment that was known to program staff, either full-time or part-time, during the course of the workshop or before participating in another component. Approximately one-third proceeded to participate in EWEP.

Surprisingly, from the perspective of the program planners, employment while registered (either part-time or full-time) was the second most common initial activity. Seventeen percent of AFDC's and 13 percent of AFDC-U's fit this pattern. These individuals rarely participated in any other type of activity.

Seven percent of AFDC's and 4 percent of AFDC-U's were participating in self-initiated education or training as of registration.[9] Most commonly, these individuals remained in education and training throughout their time in the program; rarely did they participate in other SWIM activities.

A small number of individuals (3 percent of AFDC's and 2 percent of AFDC-U's) skipped the job search workshop portion of the SWIM model and

TABLE 5.4

SWIM

PERCENTAGE DISTRIBUTION OF SWIM-ELIGIBLES BY ASSISTANCE CATEGORY AND PARTICIPATION IN A FIRST OR SECOND ACTIVITY WITHIN TWELVE MONTHS FOLLOWING INITIAL REGISTRATION

First Activity	Second Activity	AFDC	AFDC-U
Job Search Workshop		35.8	42.8***
	EWEP	12.7	13.8
	ISESA	0.0	0.0[a]
	Program-Arranged Education or Training	1.2	0.4
	Self-Initiated Education or Training	1.0	1.7
	Employment While Registered	9.7	10.5
	Deregistered Due to Employment	0.5	1.6**
	No Other Activity	10.7	14.8***
EWEP		3.1	1.7*
	Job Search Workshop	0.1	0.1[a]
	ISESA	0.0	0.0[a]
	Program-Arranged Education or Training	0.4	0.1
	Self-Initiated Education or Training	0.1	0.0[a]
	Employment While Registered	0.9	0.7
	Deregistered Due to Employment	0.0	0.0[a]
	No Other Activity	1.6	0.7
Program-Arranged Education or Training		6.3	4.4*
	Job Search Workshop	0.5	0.4
	EWEP	0.0	0.0[a]
	ISESA	0.0	0.0[a]
	Self-Initiated Education or Training	1.5	0.9
	Employment While Registered	1.3	0.9
	Deregistered Due to Employment	0.1	0.0[a]
	No Other Activity	3.0	2.3

(continued)

TABLE 5.4 (continued)

First Activity	Second Activity	AFDC	AFDC-U
Self-Initiated Education or Training		7.3	4.1***
	Job Search Workshop	0.6	0.4
	EWEP	0.0	0.0^{a}
	ISESA	0.0	0.0^{a}
	Program-Arranged Education or Training	0.4	0.3
	Employment While Registered	1.4	1.3
	Deregistered Due to Employment	0.0	0.1^{a}
	No Other Activity	4.9	2.0***
Employment While Registered		16.9	13.1**
	Job Search Workshop	1.0	1.3
	EWEP	0.1	0.1^{a}
	ISESA	0.0	0.0^{a}
	Program-Arranged Education or Training	0.8	0.3
	Self-Initiated Education or Training	0.5	0.1
	Deregistered Due to Employment	2.8	4.3*
	No Other Activity	11.8	7.0***
Deregistered Due to Employment		1.3	3.0***
	SWIM Component	0.2	0.7
	Employment While Registered	0.5	0.6
	No Other Activity	0.6	1.8**
Other Activity	Any Activity	4.0	3.7
Never Active		24.0	26.6
Total		100.0	100.0
Sample Size		1608	704

SOURCE: MDRC calculations from the County of San Diego Department of Social Services SWIM Automated Tracking System and EWEP attendance logs.

NOTES: The sample for this table includes SWIM-Eligibles who registered between July 1985 and June 1986.

Distributions may not add to 100.0 percent and "Second Activity" percentages may not add to "First Activity" percentages due to rounding.

(continued)

TABLE 5.4 (continued)

Participation in a first or second activity following initial registration is defined as attending EWEP for at least one hour or any other activity for at least one day.

Program employment information is based on employment that was reported to program staff. Program employment data were not used to measure impacts.

A chi-square test was applied to differences between assistance categories. Statistical significance levels are indicated as: * = 10 percent; ** = 5 percent; *** = 1 percent.

[a] Chi-square test inappropriate due to low expected cell frequencies.

169

participated initially in EWEP. As discussed earlier, it is likely that these individuals had already participated in job search workshops within 12 months prior to registration.

IV. Duration of Participation

So far in this chapter, an individual has been considered a participant if he/she attended an activity for at least one day during the 12-month follow-up period. No distinction has been made between registrants who participated one day and those who participated for 12 months. This section presents findings on the duration of participation.

This discussion does not take into account the number of months in which a registrant was eligible for the program. It simply characterizes the duration of participation within the 12-month follow-up period, since impacts are calculated for all individuals in the sample, regardless of how long they remained eligible for the program. (Chapter 6 addresses the extent to which individuals were active during every month they were SWIM-eligible.)

Averaging the number of months in which individuals took part in some type of activity while registered with the program provides an overall indicator of the length of time registrants participated. Included is participation in job search workshops, EWEP, OJT, job clubs, STAR, ISESA, other types of job search, education or training, or employment while registered with the program. Using this type of measure, sample members participated on average during 4.4 months of the 12-month follow-up period. This statistic includes the one-quarter of the sample who never participated. Among participants, the average number of "active" months was 5.8.

Excluding months in which registrants' only activity was employment, sample members participated on average during 3.0 months of the 12-month follow-up period. This statistic, however, includes the one-third of the sample who never participated in job search, work experience or education/training. Among participants in such activities, the average number of "active" months was 4.6.

The above figures make no distinction between registrants who participated one day during the month and those who participated every day of the month. Duration of participation is more evident when each SWIM program component is considered separately. Each component had different participation requirements. For example, individuals who only participated in a job search workshop, a two-week activity, could not have participated for more than 10 days during the month. Registrants who participated only in job clubs, the biweekly job search activity, are likely to have participated only one or two days during each month. And, registrants in school may have been enrolled in ESL classes which were held two mornings per week -- for a maximum of about eight days of the month. In addition, for some components attendance data were available, but for others only enrollment data were available.

Job search activities were generally the least time-intensive components in the model. Among those who participated in job search workshops during the 12-month follow-up period, over three-quarters remained in the workshop for the entire ten-day period. On average, job club participants attended 4.1 job club sessions within the follow-up period.

The extent of participation in ISESA -- which consisted of two- or three-hour weekly job search sessions along with individual job search between sessions over a 90-day period -- varied among participants. Data on the actual number of sessions attended are not available. But the length of time individuals remained enrolled in this program provides some clues as to how many sessions registrants were likely to have attended. About one-third of the participants remained enrolled with the program for 30 days; another 22 percent were enrolled 31-60 days; and the remaining participants were enrolled for the full duration of the component.[10]

Among those who participated in EWEP, participation was quite intensive. The average number of hours worked at a worksite during the 12-month follow-up period was 167: 161 hours for AFDC registrants and 177 hours for AFDC-U registrants. EWEP participants were generally assigned to work 20-30 hours per week; registrants did not work full-time hours. Consequently, the average of 168 hours cannot be directly translated into actual full-time days. However, these hours would be the rough equivalent of 24 full days of work.

Individuals who participated in education or training programs generally remained active over a long period of time although participation was not necessarily full-time. On average, registrants remained enrolled with community college programs for a period of 195 days within the 12-month follow-up period; the enrollment period in JTPA programs averaged 88 days during the follow-up period; and enrollment in other types of programs averaged 138 days within this period. In terms of months, registrants were active in education or training programs during an average of 5.5 months within the 12-month follow-up period.

The length of time registrants remained employed while registered also varied. However, on average, part-time employment spanned a period of 149 days while full-time employment covered a period of 94 days. In terms of months, registrants were employed (while registered) during an average of 4.7 months within the 12-month follow-up period.

V. Special Study of Childcare

Support services are key components in programs that seek to maximize participation. The lack of such services is often viewed as the primary impediment to mandatory programs, particularly those which mandate continuous participation. This section presents the results of a special study of one important type of support service in SWIM, childcare.

The purpose of the study was to describe participants' childcare arrangements. The study did not investigate why participants chose certain types of care or whether participants were satisfied with their arrangements. Evidence presented in Chapter 7, however, indicates that childcare problems were a barrier to participation for only a small number of registrants.

To investigate the types of childcare arrangements registrants utilized in SWIM, MDRC staff reviewed the program case files of a random sample of 121 AFDC registrants -- 61 who participated in July 1986 and 60 who were active in November 1986.[11] AFDC-U registrants, who by definition are in two-parent households, were not included in the sample. Participants were defined as those active in any type of SWIM component: job search workshops, job clubs, EWEP, ISESA, program-arranged education/training, self-initiated education/training, and employment while registered. The case files were reviewed to ascertain the nature of childcare arrangements during November 1986 (when children were likely to be in school) and during

July 1986 (generally a non-school month). On the basis of case notes, standard childcare assessment forms, and reimbursement vouchers found in the case files, information was recorded for each child of the registrant.[12] As much as possible, data collectors tried to isolate childcare arrangements for the two months in question.

In terms of childcare requirements, registrants who participated during the selected months were a diverse group. Among the 121 registrants in the sample, 50 percent had one child; 31 percent had two children; and 19 percent of the registrants had three or more children. In 7 percent of the cases, the youngest child of the registrant was under six years of age. These registrants were probably "soft mandatories," i.e., individuals who were WIN-mandatory because they were in school. For 46 percent of the registrants, their youngest child was between six and nine years of age. The youngest child of 26 percent of the registrants was between 10 and 13 years old. For 22 percent of the registrants, all children were at least 14 years old. Overall, data were collected on 213 children.[13]

Registrants in the sample also participated in a wide range of activities during the review months. Forty percent were employed; 26 percent were in self-initiated education or training; 21 percent participated in job clubs during the month; 10 percent were in job search workshops; 9 percent were active in EWEP; 7 percent participated in program-arranged education or training; 4 percent had attended an EWEP orientation; and 3 percent were active in other types of activities. Note that many individuals participated in more than one activity during the review months.

The results of the case file reviews, combined for the July and November samples, are shown in Table 5.5. The childcare arrangements for

TABLE 5.5

SWIM

PERCENTAGE DISTRIBUTION OF CHILDCARE ARRANGEMENTS FOR AFDC PARTICIPANTS, BY PROVIDER AND LOCATION

Provider and Location	Arrangements for Participant's Youngest Child	Arrangements for All Children of Participant
Relative Provided Care	28.1	30.5
In Child's Home	9.1	12.7
In Provider's Home	12.4	11.3
Location of Care Not Found in Casefile	6.6	6.6
Non-Relative Provided Care	14.0	12.7
In Child's Home	1.7	0.9
In Provider's Home	8.3	7.0
Location of Care Not Found in Casefile	4.1	4.7
Group Care	4.1	4.2
In Provider's Home	2.5	2.8
In a Center	1.7	1.4
SWIM Activity Usually Occurred While Child was in His/Her Regular School	11.6	8.5
Other Care Provided by a Relative	0.0	0.0
Other Care Provided by a Non-Relative	3.3	2.3
Additional Care Provider Not Found in Casefile	8.3	6.1
SWIM Activity Always Occurred While Child was in His/Her Regular School	6.6	5.6
Child Cared for Self (14 years or older)	23.1	28.6
Provider Information for July or November 1986 Not Found in Casefile	12.4	9.9
Total	100.0	100.0
Sample Size[a]	121	213

SOURCE: MDRC calculations from casefile reviews of randomly chosen AFDC registrants who were active during July or November, 1986.

NOTES: Distributions may not add to 100.0 percent and subcategories may not add to category totals due to rounding.

[a] Four participants (representing 7 children) who were active during both July and November 1986 were randomly chosen for both the July and November samples. Therefore, 4 participants and 7 children are represented twice in the sample size.

participants are best characterized by focusing on the situation of the registrants' youngest child. The results indicate that 30 percent of the participants did not need childcare during the review months: For 23 percent of the participants, their youngest child was at least 14 years old.[14] For 7 percent of the participants, all SWIM activity took place while their youngest child and, presumably, all their children, were in school.

Twelve percent of the participants were active in SWIM while their youngest child was in school, but required pre-school, after-school or "back-up" care. For most of these participants, case file reviews did not yield further information on the provider.

Over two-fifths of all participants (42 percent) used informal day care arrangements for their youngest child. For over two-thirds of those with informal arrangements (28 percent of the entire childcare sample), care was provided by relatives as opposed to non-relatives. Among those whose children were cared for by relatives, the care took place in the child's home almost as frequently as in the relative's home. Among those whose children were cared for by a non-relative, the care most commonly took place in the non-relative's home.

Only 4 percent of the participants placed their youngest child in a formal group care arrangement. These participants, who generally had children under six years of age, used facilities at the University of California - San Diego and the YMCA.

Similar childcare patterns are evident when all children of the registrants, not just the youngest child, are included in the statistics (Table 5.5). In fact, 84 percent of the sampled participants had the same type of childcare arrangement for all their children. The remaining 16 percent of the registrants used childcare arrangements that differed within the family according to the childrens' ages.

Childcare arrangements differed between "school" and "non-school" months as shown in Table 5.6. For one-third of the November 1986 participants, all or part of their SWIM activity occurred while their youngest child was in school. During July 1986, when children were generally not in school, informal care provided by relatives or non-relatives became more common. In July, 52 percent of the participants used informal day care. In November, 32 percent of the participants used this type of care.

Childcare arrangements also differed according to the age of each child (Table 5.7). The few young children in the sample (less than six years old) were likely to be cared for in a formal group care arrangement. Those in the six- to thirteen-year-old age group were most likely to be in school and/or cared for by a relative.

No clear relationship was evident between childcare arrangements and the type of SWIM activity in which the registrant was participating during the review month. The one exception was that those who used informal non-relative care were more likely to be EWEP or job club participants.

Childcare arrangements did not generally vary according to the demographic characteristics of the registrants, with one statistically significant exception: Individuals with older children who could care for themselves were more likely to have been employed during the two years prior to their initial program registration than registrants with younger children. Additionally, registrants who used relatives to provide childcare were less likely to have prior employment than individuals who

TABLE 5.6

SWIM

PERCENTAGE DISTRIBUTION OF CHILDCARE ARRANGEMENTS OF AFDC PARTICIPANT'S YOUNGEST CHILD, BY PROVIDER AND LOCATION, AND BY REVIEW MONTH

Provider and Location	July 1986	November 1986
Relative Provided Care	34.4	21.7
In Child's Home	11.5	6.7
In Provider's Home	14.8	10.0
Location of Care Not Found in Casefile	8.2	5.0
Non-Relative Provided Care	18.0	10.0
In Child's Home	3.3	0.0
In Provider's Home	8.2	8.3
Location of Care Not Found in Casefile	6.6	1.7
Group Care	1.6	6.7
In Provider's Home	1.6	3.3
In a Center	0.0	3.3
SWIM Activity Usually Occurred While Child was in His/Her Regular School	0.0	23.3
Other Care Provided by a Relative	0.0	0
Other Care Provided by a Non-Relative	0.0	6.
Additional Care Provider Not Found in Casefile	0.0	16.7
SWIM Activity Always Occurred While Child was in His/Her Regular School	3.3	10.0
Child Cared for Self (14 years or older)	29.5	16.7
Provider Information for July or November 1986 Not Found in Casefile	13.1	11.7
Total	100.0	100.0
Sample Size[a]	61	60

SOURCE: See Table 5.5.

NOTES: Distributions may not add to 100.0 percent and subcategories may not add to category totals due to rounding.

Tests of statistical significance were not examined.

[a] Four participants (representing 7 children) who were active during both July and November were randomly chosen for both the July and November samples. Therefore, 4 participants and 7 children are represented twice in the sample size.

TABLE 5.7

SWIM

PERCENTAGE DISTRIBUTION OF CHILDCARE ARRANGEMENTS OF AFDC PARTICIPANTS, BY PROVIDER OF CHILDCARE AND CHILD'S AGE

Provider	Child Less Than 6 Years	Child 6-9 Years	Child 10-13 Years	Child 14 Years or Older	Total
Relative Provided Care	30.0	45.6**	55.4***	0.0***	33.9
Non-Relative Provided Care	20.0	21.1	20.0	0.0***	14.1
Group Care	30.0***	8.8	1.5	0.0*	4.7
SWIM Activity Usually Occurred While Child Was In His/Her Regular School	20.0	8.8	16.9**	0.0***	9.4
SWIM Activity Always Occurred While Child Was In His/Her Regular School	0.0	15.8***	4.6	0.0**	6.3
Child Cared for Self (14 years or older)	0.0*	0.0***	1.5***	100.0***	31.8
Total	100.0	100.0	100.0	100.0	100.0
Sample Size[a]	10	57	65	60	192

SOURCE: MDRC calculations from casefile reviews of randomly chosen AFDC registrants who were active during July or November, 1986.

NOTES: Distributions may not add to 100.0 percent due to rounding.

For each cell in the table, a statistical test was performed to determine whether the proportion of children in a particular age category using an arrangement was different from the proportion of children in all other age groups who used that arrangement. For example, the 30 percent of children less than 6 years who had relatives providing care is not significantly different from the combined percent in other age groups who used that arrangement. Differences are statistically significant using a chi-square test at the following levels: * = 10 percent; ** = 5 percent; *** = 1 percent.

[a] Twenty-one children were excluded from this table due to missing provider information.

used non-relative care.

Finally, the data yield limited information concerning the extent to which registrants utilized program monies to pay for childcare. Clear evidence that program monies had been used for childcare during the selected months was found in the case files of only 12 percent of the participants. As already noted in Chapter 4, the 22 percent of the participants whose children were all at least 14 years old were not eligible for program childcare monies. The case files of 37 percent of the participants showed no evidence of program-paid childcare. An unknown number of these registrants may have been only in activities for which no childcare monies were available, for example, self-initiated education/training or employment. For the remaining quarter of the sample, the data did not allow any assessment to be made concerning whether program childcare monies had been used during the two review months.

CHAPTER 6

OTHER PARTICIPATION ISSUES

One of the key features of SWIM was the requirement that registrants be active in the program as long as they remained WIN-mandatory. Most other welfare initiatives have had program requirements that were either limited in duration or, if the program model specified ongoing participation, were de facto short term. This chapter assesses the extent to which a continuous participation requirement was implemented in SWIM and provides an overview of noncompliance activities and outcomes. In addition, the chapter examines the extent to which registrants remained in the program but escaped any participation without being sanctioned.

I. Assessment of the Continuous Participation Requirement

The extent to which individuals participate in a program on a continuous basis is a complicated concept to measure. In reading this section, three measurement issues should be kept in mind. First, all activities viewed by program staff as fulfilling the program's participation requirements are included in the definition of participation. Thus, in addition to participation in program-arranged activities, employment while registered with SWIM and participation in self-initiated education or training fall under the definition of participation. Second, individuals were considered active in a month if they participated at least one day during the month. For example, no distinction is made between those who participated one day and those who participated 20 days during a month. Third, individuals were considered eligible for SWIM during any month in which they were registered for at least one day. In the two years that SWIM operated, during a typical month over 75 percent of those registered at least one day during the month were registered (and thus SWIM-eligible) throughout the month (i.e., every day of the month). The remaining 25 percent either registered or deregistered at some point during the month. This issue is discussed further in Chapter 7.

To examine continuous participation, the length of time that individuals were eligible for the program must be taken into account. The ten hypothetical sample members shown in Figure 5.1 of Chapter 5 can be used to illustrate this point.

Persons A and B were eligible for the program in all 12 months of a one-year follow-up period. Person C, in contrast, was eligible for the program in only three months -- October, November and December 1985 -- within a 12-month follow-up period. For persons A and B, a continuous participation requirement would involve 12 months of activity. For Person C it would involve only three months of activity.

How long individuals remained registered with the program, and thus eligible for program services, throughout a 12-month follow-up period is shown in Table 6.1. Thirty-seven percent of the registrants were eligible for SWIM throughout the 12-month period; 23 percent were SWIM-eligible for one to three months out of the 12; 19 percent for four to six months; 14 percent for seven to nine months; and 8 percent for ten or eleven months. On average, registrants were eligible for the program for 7.8 months of the 12-month follow-up period.

The extent to which individuals participated during every month they

TABLE 6.1

SWIM

PERCENTAGE DISTRIBUTION OF SWIM-ELIGIBLES, BY PARTICIPATION STATUS AND NUMBER OF MONTHS REGISTERED FOR SWIM DURING THE TWELVE MONTHS FOLLOWING INITIAL REGISTRATION

Number of Months Registered	Participants	Non-Participants	Total
1	0.8	13.9	4.0
2	4.5	23.9	9.2
3	6.3	18.4	9.3
4	5.8	8.6	6.5
5	7.5	6.3	7.2
6	5.4	4.4	5.1
7	5.0	2.9	4.5
8	5.4	2.7	4.8
9	5.5	1.9	4.6
10	4.7	1.4	3.9
11	4.6	1.0	3.7
12	44.5	14.5	37.2
Total	100.0	100.0	100.0
Sample Size	1749	563	2312

SOURCE: MDRC calculations from the County of San Diego Department of Social Services SWIM Automated Tracking System and EWEP attendance logs.

NOTES: The sample for this table includes SWIM-Eligibles who registered between July 1985 and June 1986.

The sample is weighted to adjust for the higher proportion of AFDC's, relative to the proportion of AFDC-U's, in our sample.

Distributions may not add to 100.0 percent due to rounding.

Participation is defined as attending EWEP for at least one hour or any other activity for at least one day.

Registered during a month is defined as registered for at least one day during the month.

Tests of statistical significance were not examined.

were SWIM-eligible is shown in Table 6.2. Several points are evident.

First, as noted in Chapter 5, about one-quarter of the registrants never participated within the 12-month follow-up period. Obviously, for these individuals an ongoing participation requirement was not achieved. It should be noted that the majority of these nonparticipants were eligible for the program for only a few months (see Table 6.1).[1]

Second, only a small proportion of all registrants -- 16 percent -- were active during all the months in which they were eligible for program services. Inevitable periods of inactivity due to assignment lags between activities, illness, or other temporary interruptions in participation may make this definition of continuous activity overly stringent. If continuous activity is defined as participating for at least 70 percent of the months in which registrants were program eligible, then slightly over one-third (36 percent) of all registrants were continuously active. Among participants (i.e., registrants who ever participated during the 12-month period), almost 50 percent were continuously active using this definition.[2]

Appendix Table D.1 illustrates that these proportions did not seem to vary according to the number of months individuals were registered with the program. Continuous participation was as likely for individuals with long periods of eligibility as for those with short periods. In addition (although not shown in the table), these proportions did not differ between AFDC and AFDC-U registrants.

Those who were active in at least 70 percent of their eligible months participated, on average, during 8.0 months (including employment as participation) and during 4.9 months (not including employment as participation). This average was virtually identical for AFDC and AFDC-U

TABLE 6.2

SWIM

PERCENTAGE DISTRIBUTION OF SWIM-ELIGIBLES, BY PERCENT OF MONTHS ACTIVE OUT OF MONTHS REGISTERED, AND BY ASSISTANCE CATEGORY

Percent of Months Active Out of Months Registered	AFDC	AFDC-U	Total
100	15.8	15.2	15.6
90-99	5.5	4.7	5.2
80-89	7.3	6.5	7.0
70-79	7.6	8.8	8.0
60-69	8.9	6.4	8.0
50-59	11.8	14.2	12.7
40-49	3.8	2.7	3.4
30-39	5.9	5.7	5.8
20-29	4.9	2.4	4.0
10-19	3.9	5.3	4.4
1-9	1.4	1.8	1.5
0	23.3	26.3	24.4
Total	100.0	100.0	100.0
Sample Size	1491	821	2312

SOURCE: MDRC calculations from the County of San Diego Department of Social Services SWIM Automated Tracking System and EWEP attendance logs.

NOTES: The sample for this table includes individuals who registered between July 1985 and June 1986.

The sample is weighted to adjust for the higher proportion of AFDC's, relative to the proportion of AFDC-U's, in our sample.

Distributions may not add to 100.0 percent due to rounding.

Participation is defined as attending EWEP for at least one hour or any other activity for at least one day.

Registered during a month is defined as registered at least one day during the month.

Tests of statistical significance were not examined.

registrants.

What types of activities typically occupied the participants who were continuously active according to this definition? Analysis of the program tracking data indicated that among this group, employment while SWIM-registered was the most common activity, followed by education and training activities. The mix of activities did not seem to depend on the number of months an individual was registered with the program: These two types of activities were most common among all individuals who were continuously active, regardless of whether these individuals were eligible for SWIM for a short or long time.

The fact that the program did not impose an ongoing participation requirement for almost two-thirds of all registrants raises an important question: Why were registrants inactive during months in which they were program-eligible? This question is addressed briefly in the next section of this chapter and in more detail in Chapter 7.

II. Noncompliance Activity and Outcomes

This section provides an overview of the extent to which registrants failed to attend assigned activities, the activities in which this was most likely to happen, and the eventual outcomes of these situations. Note that the research definition of noncompliance differs from the definition used by program staff. For research purposes, noncompliance is defined as the failure of registrants to attend assigned activities or comply with other program requirements. As is shown, many of those identified as noncompliant in this study had valid reasons, from the program staff's point of view, for not participating in or dropping out of a component.[3]

To describe the extent to which individuals were not in compliance with program requirements, MDRC staff reviewed the case files of a subgroup of registrants, both participants and nonparticipants. The sample consisted of 144 AFDC and 98 AFDC-U SWIM-eligibles, randomly selected from the group who registered with SWIM between January 1 and March 31, 1986. These registrants' program activities were tracked for 15 to 18 months after registration.

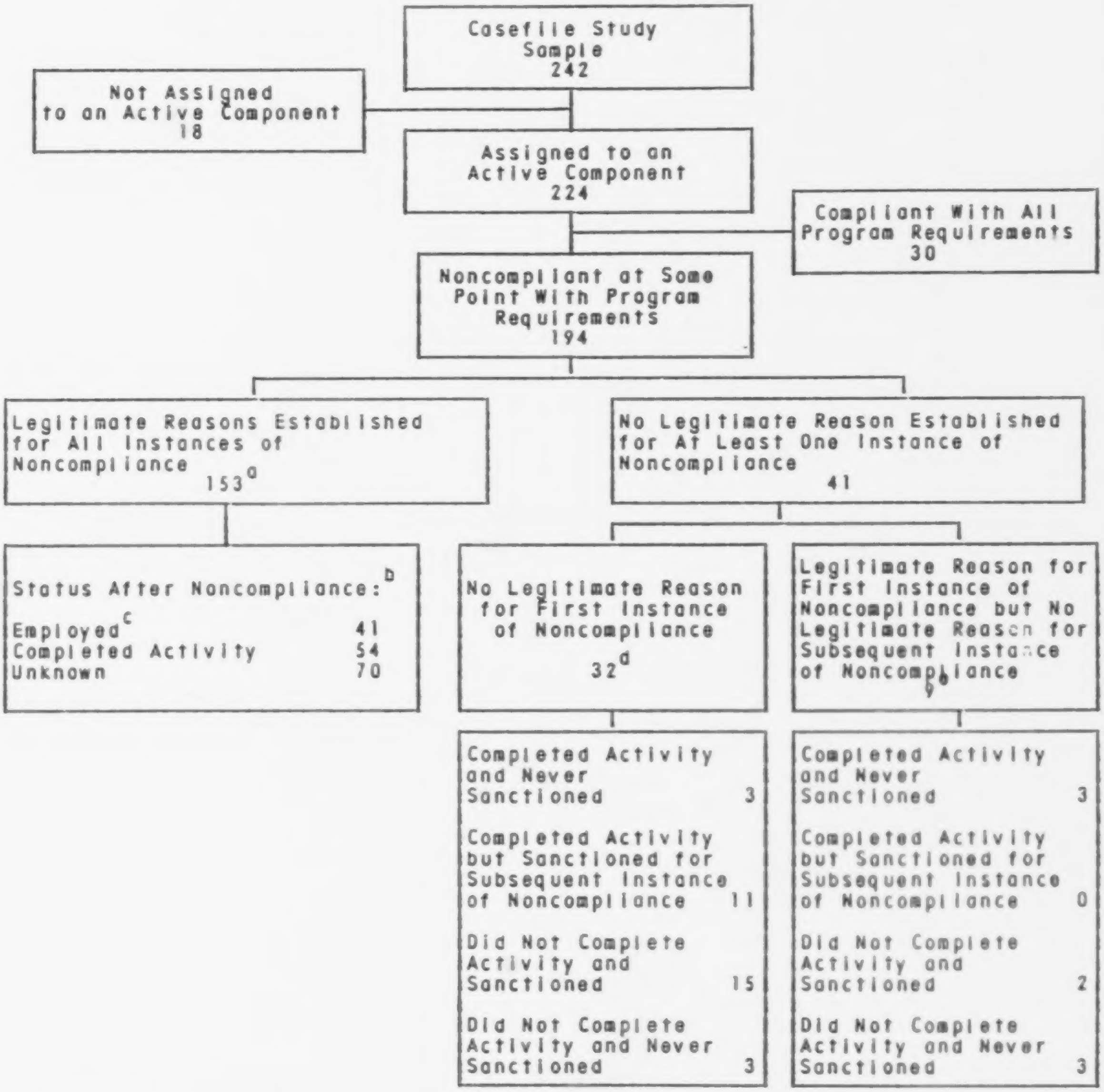
A summary of the findings based on the case file study is shown in Figure 6.1 and Table 6.3. More than nine out of ten sample members (93 percent) were assigned to an active component -- either a program-arranged activity, approved self-initiated education or training, or employment while registered. A very high proportion -- four-fifths of all registrants (or 87 percent of those assigned to an activity) -- at some point failed to attend an assigned activity or failed to comply with some other aspect of program requirements. However, most of the noncompliant individuals had a valid reason for this failure. Only 21 percent of all noncompliant registrants were ever determined to have no legitimate reason for their actions. Moreover, more than four-fifths of those with no legitimate reason either eventually completed the activity in which they were noncompliant or were sanctioned.

The most frequent type of noncompliance was failure to initially show up at an assigned activity (Table 6.4). Almost half of the noncompliant registrants failed to attend their initially assigned job search workshop session. One-fifth failed to attend their first job club session. Nine percent failed to attend an EWEP orientation or an assigned EWEP worksite. Ten percent missed at least one appointment with program staff.

Figure 6.1

SWIM

FLOW OF SWIM-ELIGIBLES THROUGH THE NONCOMPLIANCE AND ADJUDICATION PROCESS


Casefile Study Sample 242
Not Assigned to an Active Component 18
Assigned to an Active Component 224
Compliant With All Program Requirements 30
Noncompliant at Some Point With Program Requirements 194
Legitimate Reasons Established for All Instances of Noncompliance 153[a]
No Legitimate Reason Established for At Least One Instance of Noncompliance 41
Status After Noncompliance:[b]
Employed[c] 41
Completed Activity 54
Unknown 70
No Legitimate Reason for First Instance of Noncompliance 32[d]
Legitimate Reason for First Instance of Noncompliance but No Legitimate Reason for Subsequent Instance of Noncompliance 9[e]
Completed Activity and Never Sanctioned 3
Completed Activity but Sanctioned for Subsequent Instance of Noncompliance 11
Did Not Complete Activity and Sanctioned 15
Did Not Complete Activity and Never Sanctioned 3
Completed Activity and Never Sanctioned 3
Completed Activity but Sanctioned for Subsequent Instance of Noncompliance 0
Did Not Complete Activity and Sanctioned 2
Did Not Complete Activity and Never Sanctioned 3

SOURCE: MDRC calculations from casefile reviews of randomly chosen SWIM-Eligibles who registered between January 1 and March 31, 1986.

NOTES: [a] Of these 153 people, 98 had one instance of noncompliance; 55 had two instances of noncompliance.

[b] The statuses after noncompliance are not mutually exclusive.

[c] Only applies to those who become employed after the first instance of noncompliance.

[d] Of these 32 people, 6 had one instance of noncompliance and 26 had two.

[e] Information regarding the completion status for the second instance of noncompliance is missing for one of the nine people in this category. It is known, however, that this individual was never sanctioned.

TABLE 6.3

SWIM

KEY NONCOMPLIANCE INDICATORS FOR SWIM-ELIGIBLES, BY ASSISTANCE CATEGORY

Indicator	AFDC	AFDC-U	Total
Assigned to an Active Component	93.8%	90.8%	92.6%
Noncompliant	79.9	80.6	80.2
Reason for Noncompliance			
No Legitimate Reason for at Least One Instance of Noncompliance	16.0	18.4	16.9
Legitimate Reason for All Instances of Noncompliance	63.9	62.2	63.2
Sanctioned[a]	10.4	14.3	12.0
Total Number of SWIM-Eligibles in Casefile Review	144	98	242

SOURCE: MDRC calculations from casefile reviews of randomly chosen SWIM-Eligibles who registered between January 1 and March 31, 1986.

NOTES: Noncompliance is defined as failing to attend an assigned activity for the required number of days or failing to meet other program requirements. Other requirements include verifying education or training attendance and behaving in a cooperative manner while attending a program component.

Noncompliance indicators are calculated as a percentage of all sample members in the indicated assistance category.

Tests of statistical significance were not examined.

[a] During the casefile reviews, a registrant was considered to be sanctioned if there was an indication in the registrant's program case file that the grant had been reduced due to noncompliance with program requirements.

183

TABLE 6.4

SWIM

PERCENT OF NONCOMPLIANT SWIM-ELIGIBLES, BY TYPE OF NONCOMPLIANCE AND ASSISTANCE CATEGORY

Activity and Type of Noncompliance[a]	AFDC	AFDC-U	TOTAL
Job Search Workshop			
Initially Failed to Show Up at the Activity	43.5%	50.6%	46.4%
Initially Showed Up at the Activity But Then Attendance Dropped Off	4.4	7.6	5.7
Type of Noncompliance Unknown	1.7	0.0	1.0
Job Club			
Initially Failed to Show Up at the Activity	22.6	16.5	20.1
Initially Showed Up at the Activity But Then Attendance Dropped Off	5.2	7.6	6.2
Showed Up at the Activity But Failed to Meet Other Types of Activity Requirements	0.9	0.0	0.5
EWEP			
Failed to Attend Appraisal Interview	0.0	1.3	0.5
Initially Failed to Show Up at the Activity	8.8	8.9	8.8
Initially Showed Up at the Activity But Then Attendance Dropped Off	3.5	5.1	4.2
Disruptive Behavior	0.0	1.3	0.5
Type of Noncompliance Unknown	0.9	0.0	0.5
Education and Training			
Initially Failed to Show Up at the Activity	0.9	1.3	1.0
Initially Showed Up at the Activity But Then Attendance Dropped Off	7.0	2.5	5.2
Showed Up at the Activity But Failed to Meet Other Types of Activity Requirements	5.2	1.3	3.6
Type of Noncompliance Unknown	0.0	1.3	0.5
Failed to Attend Reappraisal Interview	12.2	6.3	9.8
Sample Size	115	79	194

SOURCE: MDRC calculations from casefile reviews of randomly chosen SWIM-Eligibles who registered between January 1 and March 31, 1986.

NOTES: Distributions may add to more than 100.0 percent because registrants could be noncompliant in more than one program component.

(continued)

TABLE 6.4 (continued)

Noncompliance is defined as failing to attend an assigned activity for the required number of days or failing to meet other program requirements. Other requirements include verifying education or training attendance and behaving in a cooperative manner while attending a program component.

Tests of statistical significance were not examined.

[a] Only the first two instances of noncompliance for each individual are recorded on this table.

It should be noted that the components in which registrants were most commonly noncompliant were those which came early in the program model and had the highest assignment rates. Thus, many individuals were noncompliant in job search workshops, typically the first component to which a registrant was assigned. A lower proportion of individuals were noncompliant in program-arranged education or training, which typically occurred much later in the model, than in self-initiated education and training, which could occur earlier.[4] When the extent of noncompliance in each program component is calculated as the percentage of those assigned to a component who were noncompliant in that component, the results indicate that the extent of noncompliance was relatively similar across components.

As noted in Chapter 4, registrants not in compliance with some aspect of the program were rescheduled for an activity (given a "second chance") and/or contacted by program staff before any formal actions were taken. According to the case file reviews, 28 percent of the noncompliant registrants were automatically rescheduled for an activity at least once without any in-person or telephone contact between the registrant and program staff. And 41 percent of the noncompliant registrants were rescheduled at least once, after program staff initiated some type of contact with them through telephone calls, office meetings or home visits. Forty-five percent of the noncompliant registrants initiated contact with program staff at least once to inform them of the reason for their absence. Appendix Table D.2 shows how often the different types of contacts were made.

That many noncompliant individuals had legitimate reasons for their behavior is confirmed by the case file reviews. Almost 84 percent of the noncompliant registrants were determined by program staff to have good reasons for being unable or unwilling to participate in connection with their first incident of noncompliance; 79 percent of the noncompliant registrants were determined to have a "good cause" for all identified incidents of noncompliance.

For those whose first incident of noncompliance was legitimate, the most frequently identified reasons were employment (25 percent of those with good cause reasons), illness (13 percent), and denied or no longer on welfare (11 percent). Other reasons included other appointments (6 percent), moved out of the SWIM area (4 percent), and waiting for a job to begin (3 percent).

Among the noncompliant registrants who were determined to have no legitimate reason for their actions, slightly more than 68 percent were sanctioned at some point during the program.

Registrants had the right to contest a sanction decision at several junctures in the formal adjudication proceedings, but very few (3 percent of all noncompliant registrants) decided to do so.[5] After a notice was mailed to the registrant indicating an intent to deregister for noncompliance, registrants had ten days to appeal the decision. Then, after receiving a notice of an impending sanction, registrants had another ten days in which to appeal.[6] If the registrant responded to this latter notice, Income Maintenance (IM) staff would refer the matter to SWIM program staff. If program staff decided to rescind the sanction request, IM staff would comply; if not, IM staff would impose the sanction. (Note that IM staff could not, based on their own judgment of the situation, decide to ignore a request for a sanction.)

The first sanction would affect a registrant's grant for three months; a subsequent sanction would affect the grant for six months. In both instances the effect on a registrant's check was determined by the individual's assistance category and whether noncompliance had occurred in EWEP. AFDC-U registrants who were noncompliant in an activity other than EWEP lost all welfare benefits when sanctioned. AFDC-U registrants who were noncompliant in EWEP had only their own needs removed from the grant calculation. AFDC registrants noncompliant in any activity had their grants reduced in the same way as AFDC-U's noncompliant in EWEP. For both AFDC's and AFDC-U's, the registrant's Eligibility Technician would generally notify the registrant in writing that he/she was again eligible for welfare, once the sanction period had elapsed.

The adjudication process could be lengthy. Depending on whether an individual responded to conciliation or contested the decision, the process -- from the point when noncompliance was identified to the imposition of a sanction -- could take from one to several months. For sanctioned registrants in the case file review sample, for example, the number of days from the first instance of noncompliance to the imposition of a sanction ranged from 26 to 248 (averaging 124) days.

III. Coverage

The first section of this chapter investigated how well SWIM implemented an ongoing participation requirement. The results indicated that approximately one-third of the sample was continuously active, defined as active in at least 70 percent of the months in which they were registered.

This section addresses a different question: To what extent did program registrants remain in the program and escape both participation (of at least one day) and sanctioning? This concept is referred to as coverage; a program is said to "cover" all registrants who either participate, are sanctioned, find employment, or leave welfare.

The longitudinal participation measures described so far were calculated for all individuals who registered for the program during SWIM's first year of operation and took into account all program experiences within 12 months after registration. This type of measure does not answer the question of coverage for several reasons. First, simple calculations of the percentage of individuals who participated during the follow-up period may incorrectly suggest that all individuals remained eligible for SWIM activities throughout the follow-up period and that large numbers of individuals somehow avoided participation. In reality, as shown at the beginning of this chapter, some individuals remained eligible for only a few months, leaving welfare or the program for a variety of reasons. Additionally, as noted in the previous chapter, some individuals were penalized for their failure to participate by the imposition of a sanction, that is, a temporary reduction in their AFDC grant. The extent of a program's ability to reach the targeted caseload, and to enforce at least a minimum participation requirement, is more evident when program eligibility patterns and all program statuses are taken into account.[7]

The coverage indicators presented in this section establish the proportion of individuals who, at a specific point in time after program entry, were still on welfare and registered with the program, did not have jobs, had never participated, and had not been sanctioned.

The results indicate that very few individuals escaped this minimal participation requirement in SWIM. At 12 months after registration, only 3 percent of both AFDC's and AFDC-U's in the sample had remained eligible for SWIM, were not employed, had never participated in program-arranged activities or self-initiated education or training, and had never been sanctioned.[8,9] (See Appendix Tables D.3 and D.4.)

Although direct comparisons are difficult to make, this degree of coverage appears to be as high as or higher than that achieved by welfare employment programs studied by MDRC as part of the Demonstration of Work/Welfare Initiatives.[10]

CHAPTER 7

MONTHLY PARTICIPATION RATES

Testing the feasibility of having at least three-quarters of program-eligibles active in a welfare employment activity at all times was, as noted in Chapter 1, one of the basic goals of the SWIM demonstration. This chapter examines the extent to which this benchmark was reached.

So far, the report has focused on the typical program participation patterns of registrants by tracking the experiences of an early group of registrants for the 12 months following their initial registration. This chapter uses a different analytical perspective and a larger sample of registrants to address the following questions:

- What percentage of the WIN-mandatory caseload was active during each calendar month of the demonstration?
- During each month, in what types of activities were registrants participating?
- What effect did the size of the monthly WIN-mandatory caseload have on the participation rates?
- What effect does varying the definition of participation as well as the definition of program-eligibles have on the rates?
- Among registrants not active during particular months, what were the primary reasons for inactivity?

The chapter first introduces the concept of a monthly participation measure. It then describes the samples used in calculating the monthly participation rates. It goes on to examine monthly participation rates for all 24 months of the SWIM demonstration, and to explore the effects of calculating monthly participation rates in different ways. Finally, it discusses the factors that constrain monthly participation rates, including an assessment of what the SWIM results suggest about what the upper bounds of an appropriate monthly participation (saturation) goal of a mandatory welfare employment program might be.

I. Monthly Participation Measures

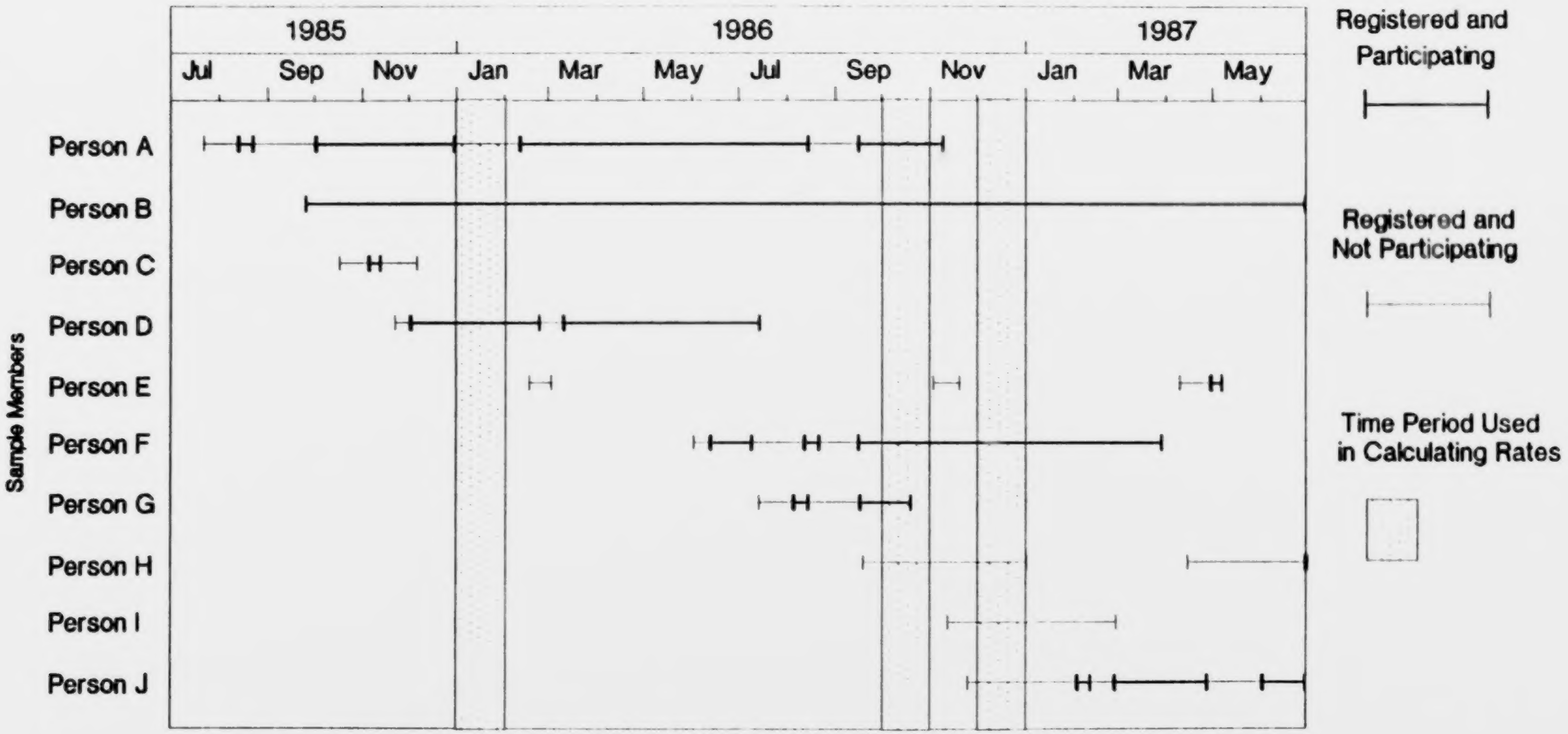
Monthly participation measures have been suggested as a means by which to measure whether welfare employment programs successfully reach their targeted caseloads with employment-related activities. In the past, these measures have generally consisted of snap-shots of the numbers of individuals participating or the types of statuses occupied by individuals in a program during a certain period of time (for example, during a calendar month, a quarter, or some other short period of time). Calculated as rates, these measures take into account the number of individuals eligible for the program within that period of time.

Figure 7.1, which depicts the program experiences of the same ten hypothetical SWIM registrants used in previous illustrations, can be used to illustrate how these rates are calculated. The ten individuals shown in the figure registered at different points in the SWIM program and had varying participation patterns after registration. The time period that would be used to calculate a participation rate for the month of January 1986 is shown by a shaded area on the left side of the chart. Among the ten individuals shown, only three -- persons A, B and D -- were registered with the program during this month. Two of these individuals -- persons B and D -- were active during this month, resulting in a monthly participation rate of 67 percent for this small sample. This is the type of

FIGURE 7.1

SWIM

ILLUSTRATION OF TIME PERIODS COVERED BY MONTHLY PARTICIPATION RATES USING TEN HYPOTHETICAL SAMPLE MEMBERS



participation measure presented in this chapter, estimated for all 24 months of the demonstration.

The concept of examining participation levels on a monthly basis is familiar to program managers -- in terms of the number of individuals participating, although not expressed as a rate -- as a way of indicating how a program is likely to look at any given point. This knowledge informs managers about the use of various program activity "slots," on a monthly or quarterly basis. From the evaluator's point of view, monthly participation measures, calculated at set intervals, indicate the array of rendered program services at any point in time and how these services change over time. Early in a program, some components may not be fully implemented or, in a sequential program model, registrants may take a long time to reach later components. Monthly participation rates, disaggregated by type of program component, can highlight these factors.

Five limitations to this type of measure should be noted, however. First, unlike the longitudinal measures presented in Chapters 5 and 6, monthly participation rates cannot characterize the flow or path of registrants through a program by depicting typical sequences of activities; nor can they indicate how long individuals participated in the program and whether participation was on a continuous basis.

Second, these rates examine participation in a program as of a certain point in time, ignoring the prior and subsequent program experiences of registrants; the rates do not indicate whether the same individuals are participating month after month or, conversely, whether the same individuals are inactive month after month.

Figure 7.1 can also be used to illustrate this point. If a monthly participation rate for the month of October 1986 (highlighted by the middle shaded area in the figure) were calculated for the ten hypothetical sample members, persons A, B, F, G and H would be considered eligible for the program and all except person H would be considered active. The monthly participation rate for this month would be 80 percent. But this rate would not indicate that as of October 1986, Person A was ending a year-long period of intermittent program participation; that Person B was in the midst of a 21-month period of continuous participation; that Person F was beginning a medium-length participation spell; that Person G was ending a short interval of participation; and that Person H never participated in the program, even though he/she was registered with the program for several months.

(A later section of this chapter evaluates the extent to which those who did not participate in any given month were the same individuals month after month. For this analysis, a different type of participation measure is used to address the issue of frictional inactivity.)

The third limitation of monthly participation rates is that they generally measure actual participation, not compliance with program requirements.[1] As described in previous chapters, many individuals were not active at certain points during their program tenure with good reason. Registrants often waited several weeks for a scheduled component to begin; some individuals were inactive for short periods of time due to illness; and a small number (undocumented workers, for example) were never assigned to a program component. (The last section of this chapter examines the situations of individuals who did not attend program activities during selected months and estimates the extent to which individuals were complying with program requirements during each month, even if they were not attending program activities.)

Fourth, monthly participation rates do not include any individuals who were not eligible for the program in a given month because they had been sanctioned for noncompliance with program requirements and their sanction was in effect.

Finally, it is important to note that the preceding illustration and explanation of monthly participation rates belies the complexity of actually calculating this type of rate. Complicated computer programming is necessary to take into account the various eligibility and participation patterns of registrants. Computer programs, for example, must allow for the fact that individuals may be eligible for a program for only part of a month, and may participate in several different kinds of activities during a month, not all of which necessarily may count as participation. Additionally, monthly participation rates are very sensitive to the quality of the eligibility and participation information used to calculate the rates. For example, the dates recorded for the beginning and end of a period of participation or eligibility can have a big effect on how high the calculated rates are, making accurate recording extremely important.

II. Samples Used to Calculate Monthly Participation Rates

The participation statistics presented in Chapters 5 and 6 were calculated for those individuals who registered with SWIM during its first year of operation. For this group -- the same individuals for whom impacts are presented in Chapter 8 -- the statistics took into account program activities that occurred during any month within 12 months of registration.

To calculate monthly participation rates over the course of the demonstration, all individuals who were eligible for SWIM services during the 24-month research period must be represented in the sample.

To understand this difference, look again at Figure 7.1. For the types of rates calculated in Chapter 5, Persons A, B, C, D, E and F would be included, since they registered with SWIM during the program's first year and thus have 12 months of follow-up available. For a December 1986 monthly participation rate, Persons B, F, H, I and J would be included, since they were eligible for the program in that month. (See the shaded area on the right side of Figure 7.1.) These five individuals did not necessarily register with SWIM during the program's first year of operation. In fact, these five individuals registered with SWIM at various points between September 1985 and November 1986.

The number of registrants eligible for SWIM services in each month of the demonstration -- that is, the number of individuals who were registered with the program as of each month -- is shown in Table 7.1. Some individuals, of course, will be represented in several or all months. The group of individuals eligible for the program in any given month is referred to as the monthly registrant caseload.[2]

Several points can be made from Table 7.1. First, the fact that the first 12 months of SWIM represented a phase-in period becomes very clear. During these months, individuals who were WIN-mandatory before the start of SWIM were phased into the program. In addition, any individuals who applied for welfare or recipients who were newly determined to be WIN-mandatory during the first 12 months of SWIM became eligible for the program once they registered. Most frequently, those who were newly

TABLE 7.1

SWIM

NUMBER OF REGISTRANTS ELIGIBLE FOR SWIM SERVICES, BY MONTH AND ASSISTANCE CATEGORY

Month	AFDC	AFDC-U	Total
July 1985	338	184	522
August	617	329	946
September	802	420	1222
October	1034	548	1583
November	1205	609	1814
December	1287	684	1971
January 1986	1408	761	2168
February	1551	800	2351
March	1692	854	2546
April	1761	884	2645
May	1816	936	2752
June	1959	982	2942
July	2114	1059	3173
August	2203	1104	3307
September	2296	1109	3406
October	2355	1133	3488
November	2326	1142	3468
December	2422	1191	3613
January 1987	2475	1229	3704
February	2512	1233	3745
March	2575	1239	3814
April	2616	1257	3873
May	2527	1219	3746
June	2543	1225	3768
Sample Size	5332	2949	8281

(continued)

TABLE 7.1 (continued)

SOURCE: MDRC calculations from the County of San Diego Department of Social Services SWIM Automated Tracking System.

NOTES: The sample for this table includes individuals who registered between July 1985 and June 1987.

The sample is weighted to reflect the actual number of SWIM-Eligibles.

The number of AFDC and AFDC-U registrants may not sum to totals due to rounding.

Eligible during a month is defined as registered for at least one day during the month.

determined to be WIN-mandatory were former WIN-exempt recipients whose youngest child had recently turned six years of age.

After the end of the 12-month phase-in period, as Table 7.1 indicates, the monthly registrant caseload continued to grow for several months, reflecting the fact that the numbers of new registrants (applicants and redetermined recipients) were outweighing the numbers of individuals deregistering from the program. This could reflect seasonal fluctuations in welfare applications and case closures or an overall increase in welfare applications.

Beginning in December 1986, however, the registrant caseloads stabilized. For the next seven months, between 3,600 and 3,900 individuals were eligible for SWIM services in any given month. Also evident from Table 7.1 is that AFDC-U's comprised about a third of the registrant caseload in any given month.

The phase-in of the current WIN-mandatory caseload during the first 12 months of SWIM affected the composition of the registrant caseloads during the first year of the program as well as the size of the caseloads. In terms of both prior employment and prior exposure to the program, the registrant caseloads during the second year of the program were more typical of the ongoing monthly registrant caseloads of the two SWIM offices.

Compared to the registrants eligible for SWIM during later months of the program, the registrant caseloads in the early months of SWIM consisted of individuals who had less prior employment. For example, among those eligible for SWIM during December 1985, 42 percent had not worked at all during the two and one-half years prior to this month, 49 percent had worked in one to eight quarters during this time period; and 9 percent had worked almost steadily -- in nine or ten quarters -- during these two and one-half years. This distribution reflects the predominance, in the early months, of individuals who were phased into the program because they were WIN-mandatory prior to SWIM. This group probably included many long-term welfare recipients.

As applicants and redetermined individuals registered with the program, and as some of the previously WIN-mandatory individuals deregistered, the registrant caseload in any given month became less "disadvantaged." For example, the employment histories of those eligible for SWIM during February 1987 reflect a greater extent of prior employment. Among these individuals, only 35 percent had not worked at all during the two and one-half years prior to February 1987; 56 percent had worked in one to eight quarters during this period; and 9 percent had worked almost steadily -- in nine or ten quarters -- during these two and one-half years.

The registrant caseloads in different months of program operation also reflect varying lengths of stay in SWIM. Table 7.2 indicates the "program history" for those eligible for SWIM in each month of the demonstration. For example, among those eligible for the program in December 1985, no one could have been in the program for more than five months, since SWIM did not start until July 1985. In fact, 30 percent had been registered for four or five months; 54 percent had been registered one to three months; and 16 percent were new to the program that month. Given the sequential nature of the program model, few of these individuals would be expected to be in the program-arranged education or training portion of the model; most would be expected to be in job search or EWEP. By February 1987, in

TABLE 7.2

PERCENTAGE DISTRIBUTION OF INDIVIDUALS REGISTERED WITH SWIM AS OF EACH MONTH, BY NUMBER OF MONTHS REGISTERED WITH THE PROGRAM PRIOR TO EACH MONTH

Number of Prior Registered Months	1985						1986												1987					
	JUL	AUG	SEPT	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUNE	JULY	AUG	SEPT	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUNE
Registered During the Month	100.0	46.7	32.0	30.5	19.8	16.4	16.6	15.8	14.8	11.5	11.9	12.4	13.4	11.6	10.7	9.5	7.4	8.1	8.4	6.8	8.1	8.1	3.9	7.1
1-3	--	53.3	68.0	69.5	61.6	54.1	46.3	40.0	37.0	37.1	31.9	29.1	27.9	29.5	29.2	27.6	25.4	23.4	21.2	20.6	19.1	19.1	19.3	16.5
4-6	--	--	--	--	18.6	29.5	37.1	33.2	30.4	27.8	26.5	24.6	23.8	21.0	19.4	19.6	21.2	20.3	20.4	18.9	17.4	15.1	15.1	14.1
7-9	--	--	--	--	--	--	--	11.0	17.9	23.6	22.3	21.2	19.1	17.7	17.7	17.0	16.3	15.1	15.4	16.5	16.2	16.4	16.4	14.5
10-12	--	--	--	--	--	--	--	--	--	--	7.3	12.7	15.9	15.4	14.8	15.3	13.8	14.4	13.8	13.1	12.3	12.9	14.0	13.2
13-15	--	--	--	--	--	--	--	--	--	--	--	--	--	4.8	8.2	11.0	12.1	11.9	11.6	10.9	11.4	11.3	11.0	11.1
16-18	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	3.7	6.8	9.2	9.9	9.7	9.6	9.2	9.9
19-21	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	3.2	5.8	7.7	8.3	8.6
22-23	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	2.7	5.0
Number of Individuals Registered During the Month	522	946	1222	1583	1812	1971	2168	2351	2546	2645	2752	2942	3173	3307	3406	3488	3468	3613	3704	3745	3814	3873	3746	3768

SOURCE: MDRC calculations from the County of San Diego Department of Social Services SWIM Automated Tracking System.

NOTES: The sample for this table includes individuals who registered between July 1985 and June 1987.

The sample is weighted to reflect the actual number of SWIM-Eligibles.

Distributions may not add to 100.0 percent due to rounding.

Registered during a month is defined as registered for SWIM at least one day during the month.

contrast, large groups of individuals had been in the program for long periods of time. Among those in the registrant caseload for this month, 24 percent had been registered at least 13 months; 30 percent had been program-eligible for seven to twelve months; 40 percent for one to six months; and 7 percent were new to the program. The majority of these individuals would be expected to be in the education/training portion of the model. A smaller portion would be expected to be in job search or EWEP. It should be kept in mind that in terms of prior exposure to the program the registrant caseload in an ongoing program operating in these two SWIM offices would probably more closely resemble the 1987 than the 1985 registrant caseloads.

III. Monthly Participation Rates in SWIM, Varying the Types of Activities Counted as Participation

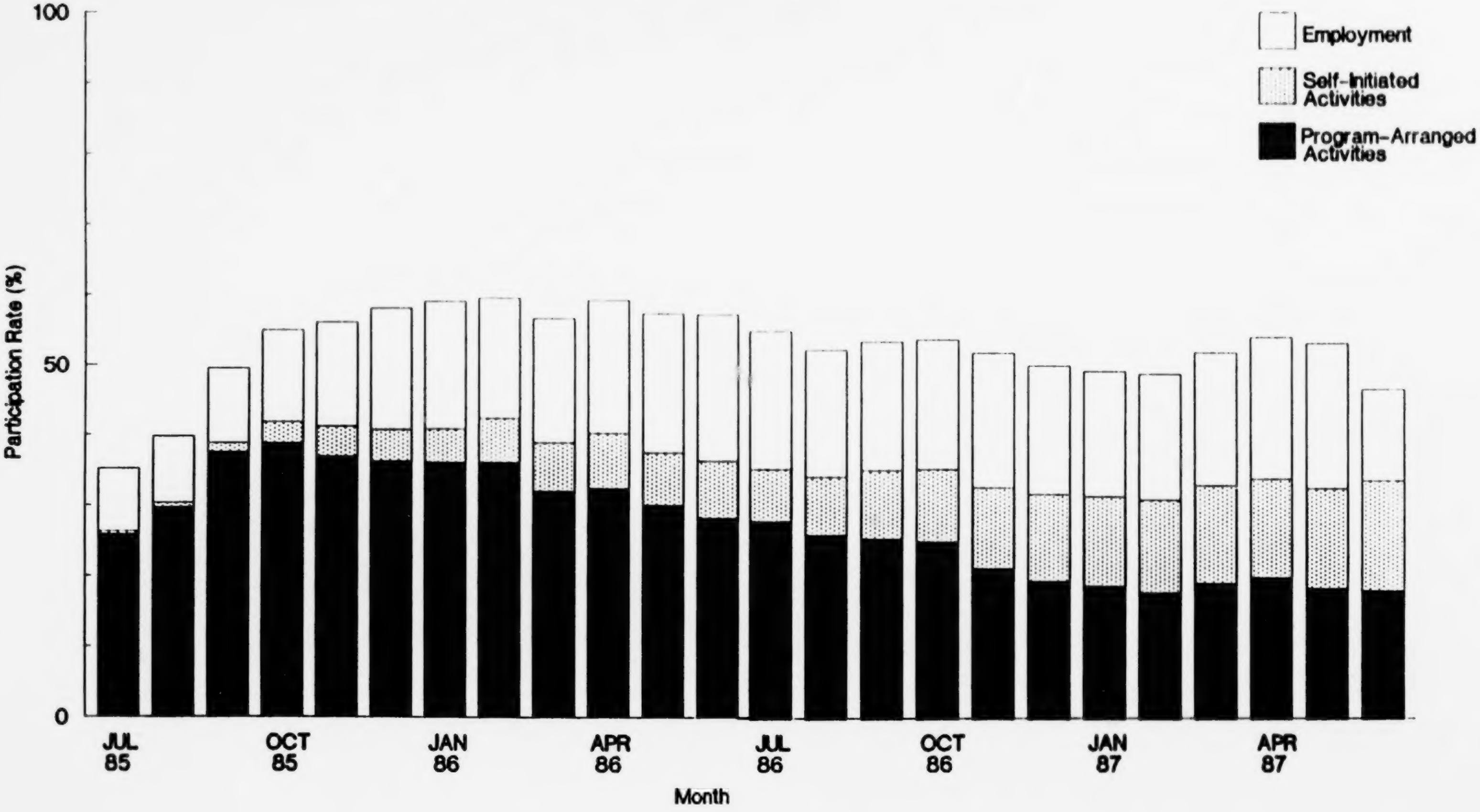
Monthly participation rates are broadly defined as the number of individuals active during a month divided by the number of individuals eligible for the program during that same month. The magnitude of the resulting rates can be affected by several factors. This section discusses how counting different types of activities as participation can affect the monthly participation rates. As becomes clear, most striking of all is the role that employment and self-initiated education and training activities play in the monthly participation rates.

Figure 7.2 shows, for each month of the demonstration, the proportion of individuals eligible for SWIM (AFDC registrants combined with AFDC-U registrants) who participated in program-arranged activities, self-initiated activities and/or employment while registered.[3] Individuals in

FIGURE 7.2

SWIM

PERCENT OF INDIVIDUALS ELIGIBLE FOR SWIM DURING EACH MONTH WHO PARTICIPATED IN PROGRAM-ARRANGED ACTIVITIES, SELF-INITIATED ACTIVITIES OR EMPLOYMENT, BY TYPE OF ACTIVITY



any of these activities were considered, by the program, to be fulfilling program requirements. (See Appendix Table E.1 for a breakdown of these rates by component and assistance category for two typical months of the demonstration.) Note that individuals were considered eligible for SWIM during a month if they were registered with the program for at least one day in the month. Participation was defined as attending an activity or working for at least one day in the month.[4]

Several points can be made from this figure. If only program-arranged activities are considered participation, 26 to 39 percent of the registrants eligible for the program in any given month during the first year of SWIM would be considered active. In this first year, however, the current WIN-mandatory caseload was being phased into the program and monthly registrant caseload sizes were low. During the second year of SWIM, when the caseloads were larger and more closely resembled those of an ongoing program, monthly participation rates counting only program-arranged activities were lower. In any given month, between 18 and 28 percent of those eligible for the program were participating in program-arranged activities.[5]

Adding self-initiated education and training to the participation criteria results in monthly participation rates of between 26 and 42 percent during the first year of SWIM, and between 31 and 35 during the second year. Note that activity included here reflects participation in registrant-initiated education or training that was both known to and approved by program staff. Again, the rates achieved during SWIM's second year more accurately reflect how SWIM would operate as an ongoing program.

The most noteworthy feature of the self-initiated activity is that, over time, an increasing proportion of each month's registrant caseload was active in self-initiated education and training. In October 1985, 3 percent of the registrant caseload was in self-initiated education or training; by July 1986, this proportion had increased to 7 percent; by January 1987, to 13 percent; and by May 1987, to 14 percent. As discussed below, two possible factors could explain this pattern. First, over the course of the demonstration, registrants may have become increasingly aware of the fact that self-initiated activities could defer them from program-arranged components. Second, registrants who became active in self-initiated education or training programs may have remained SWIM-eligible, while enrolled in these programs, for long periods of time.

Adding employment while registered to the activities included in participation results in monthly participation rates of 35 to 59 percent during the first year of program operations, and between 47 and 55 percent during the second year of SWIM. These rates reflect the fact that after the first several months of the program, approximately 18 percent of the SWIM-eligible individuals in any given month were employed and did not participate in any other activity.

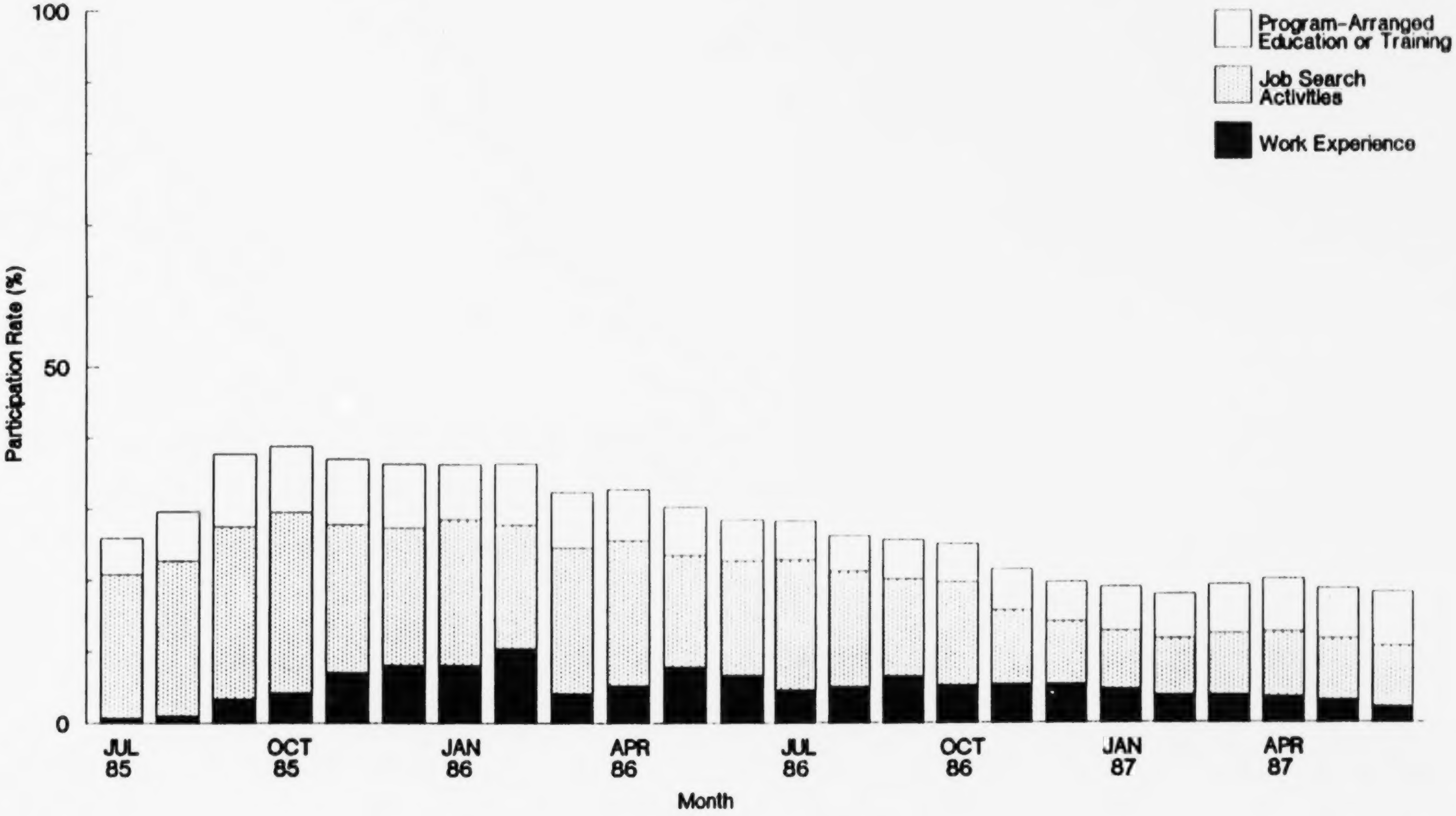
This more comprehensive definition of participation -- which includes program-arranged activities, self-initiated education or training known to and approved by program staff, and employment while registered with the program -- is the one most commonly used in this chapter. This is because this definition most closely represents all activities that fulfilled SWIM program requirements.

As mentioned above, the proportion of registrants active in program-arranged activities decreased over time. Figure 7.3 shows, for each month

FIGURE 7.3

SWIM

PERCENT OF INDIVIDUALS ELIGIBLE FOR SWIM DURING EACH MONTH WHO PARTICIPATED IN PROGRAM-ARRANGED ACTIVITIES, BY TYPE OF ACTIVITY



of the demonstration, the proportion of individuals eligible for SWIM who participated in any of the three broad categories of program-arranged activities: work experience, consisting almost totally of EWEP; job search activities, including job search workshops, job clubs and ISESA; and program-arranged education or training.

The two factors that contributed to the decline in the program-arranged monthly participation rates can be clearly seen. First, the proportion of individuals in job search and, to a lesser extent, the proportion in EWEP decreased over time. Second, the proportion of individuals in program-arranged education or training remained fairly constant.

The first factor is to be expected. Individuals who registered for SWIM would be expected to be involved in job search and EWEP during the first four to eight months they were in the program. After this point, if an individual were still eligible for the program, he/she would be referred to an education or training program. Thus, depending on how long individuals remained eligible for SWIM, one would expect to see the proportion of individuals in EWEP and job search decreasing over time.

The second factor is the surprising one. As noted, if individuals were still eligible for SWIM, the expected step after four to eight months would be referral to education or training.[6] And, as noted in an earlier section of this chapter, the registrant caseloads in the second year of SWIM consisted of many individuals who had been registered with the program for a while. These individuals should have been active in the education and training portion of the model during the later months of SWIM, thereby increasing the monthly share of program-eligibles in these types of components.

There are several possible reasons for the unexpected pattern. The first explanation for the trends depicted in Figure 7.3 focuses on the growing predominance of self-initiated education and training over the course of the demonstration. Several things could account for this. For one, interviews with program staff indicated that over the course of the demonstration, registrants became increasingly aware of the fact that self-initiated activities would defer them from program-arranged components. The numbers presented in Chapter 5, however, indicate that only a small proportion of registrants -- 5.5 percent of AFDC's and 4.3 percent of AFDC-U's -- enrolled themselves in education or training programs after initially participating in another activity. The more likely explanation, therefore, is that registrants who were active in self- initiated education or training programs may have remained SWIM-eligible, while enrolled in these programs, for long periods of time.

The second possible explanation concerns the fact that as the current WIN-mandatory caseload was phased into the program, and as more and more individuals finished the job search and EWEP portion of the SWIM model, CRU job development counselors may not have referred all eligibles to education and training, as the program model assumed. Their caseloads were growing rapidly; and, as noted earlier in the report, interviews with those staff during the last few months of the demonstration indicated that several of them, in reaction to their large workloads, decided not to work with all post-assessment registrants in their caseloads, although they had reported doing this successfully up to that point.

The increase in the number of individuals eligible for SWIM relative to the number of individuals participating is shown in Figure 7.4. Note that, in this figure, components counting towards participation include program-arranged activities, self-initiated activities and employment while registered. As indicated earlier in the chapter, the number of registrants eligible for SWIM increased over time. This number was highest in April 1987, when 3,873 individuals were registered for at least one day (see Table 7.1). The number of individuals participating in any given month did not keep pace with the growing caseloads. Indeed, this number increased only slightly during the second year of SWIM. At most, again during April 1987, 2,099 individuals were participating.

Overall, however, as noted above, participation rates, including all types of activities, remained fairly constant -- hovering between 47 and 55 percent during the second year of SWIM. This indicates that the share of registrants available for program-arranged activities might have declined over time, reflecting the fact that increasing portions of the monthly registrant caseload were in self-initiated activities or were employed.

IV. Monthly Participation Rates in SWIM for AFDC's Compared to AFDC-U's

The preceding section presented monthly participation rates in SWIM for all those eligible for the program in each month. This section presents monthly participation rates calculated separately for AFDC and AFDC-U registrants.

Three types of monthly participation rates are presented for AFDC and AFDC-U registrants in Figure 7.5, reflecting differences in the definition of participation. For two out of the three definitions -- participation defined to include only program-arranged activities, and participation

FIGURE 7.4

SWIM

NUMBER OF INDIVIDUALS ELIGIBLE FOR SWIM
AND NUMBER OF INDIVIDUALS PARTICIPATING IN SWIM,
DURING EACH MONTH

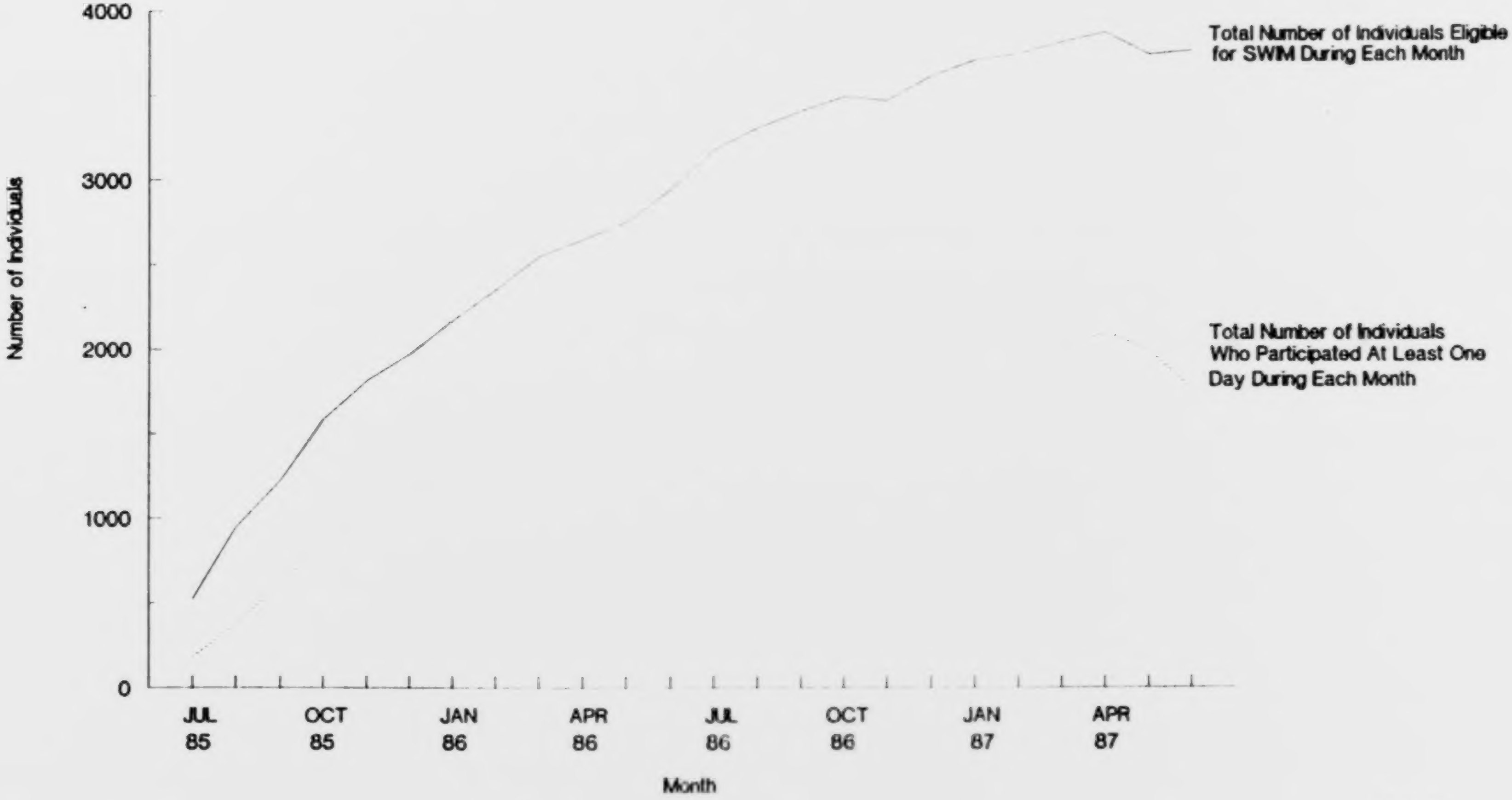
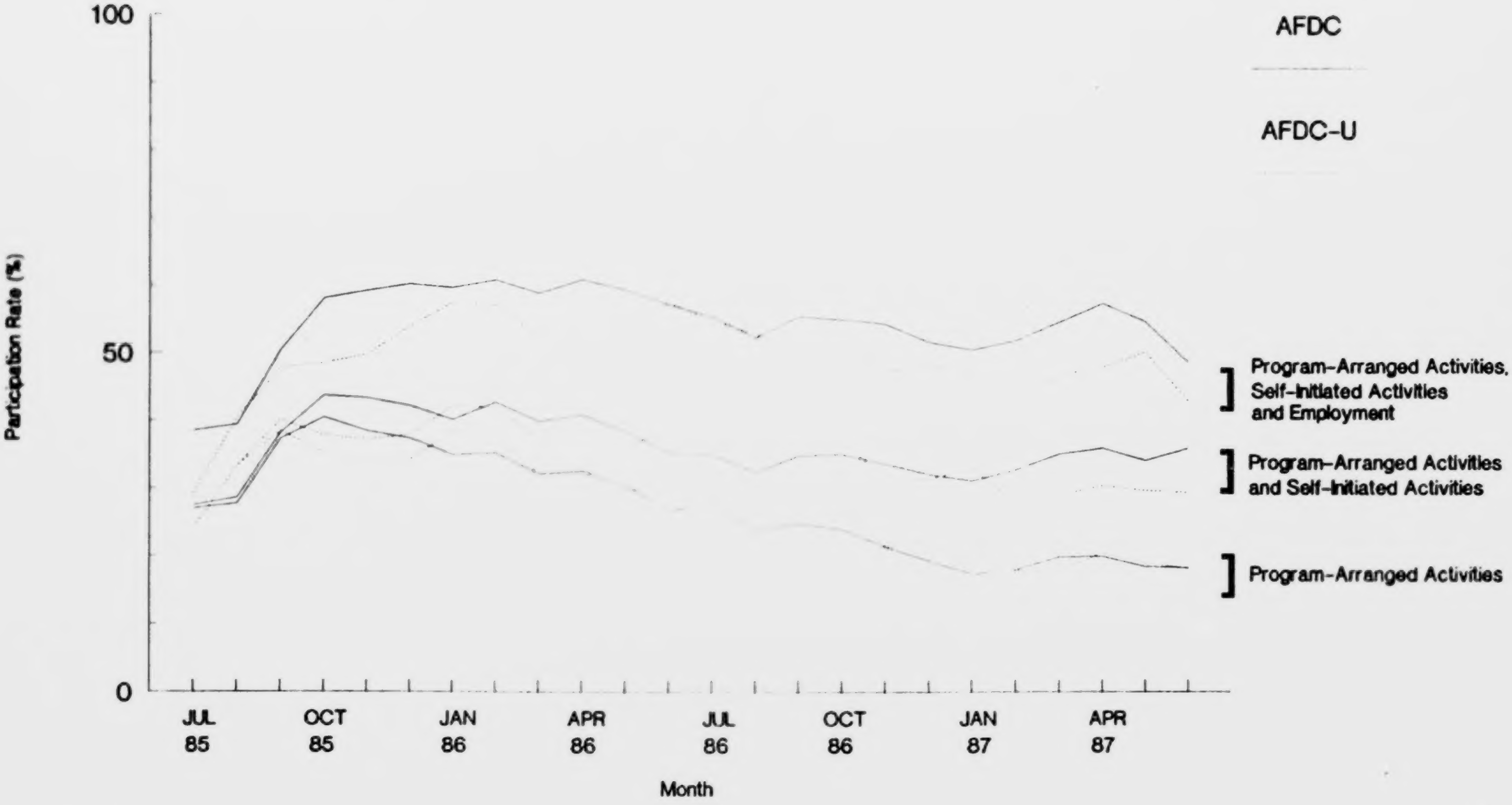


FIGURE 7.5

SWIM

PERCENT OF INDIVIDUALS ELIGIBLE FOR SWIM DURING EACH MONTH WHO PARTICIPATED IN PROGRAM-ARRANGED ACTIVITIES, SELF-INITIATED ACTIVITIES OR EMPLOYMENT, BY ASSISTANCE CATEGORY AND TYPE OF ACTIVITY



defined to include program-arranged activities as well as self-initiated activities -- the monthly participation rates for AFDC's and AFDC-U's are very similar. Within these broad definitions of participation, the program components in which these two groups participated were also similar, although AFDC-U's were slightly more likely than AFDC's to participate in job search, and slightly less likely to participate in education or training. (See Appendix Table E.1.)

When the definition of participation is changed to include employment, however, the monthly participation rates for AFDC's are generally higher than those for AFDC-U's. This difference is most probably due to the "100 hours" rule in effect for AFDC-U's, under which AFDC-U's who work more than 100 hours in a month become ineligible for welfare. This rule does not apply to AFDC's. Thus, including employment as an activity counting towards monthly participation has more of an effect on AFDC monthly participation rates than on AFDC-U monthly participation rates.[7]

V. Monthly Participation Rates in SWIM, Varying the Definition of Program-Eligibles

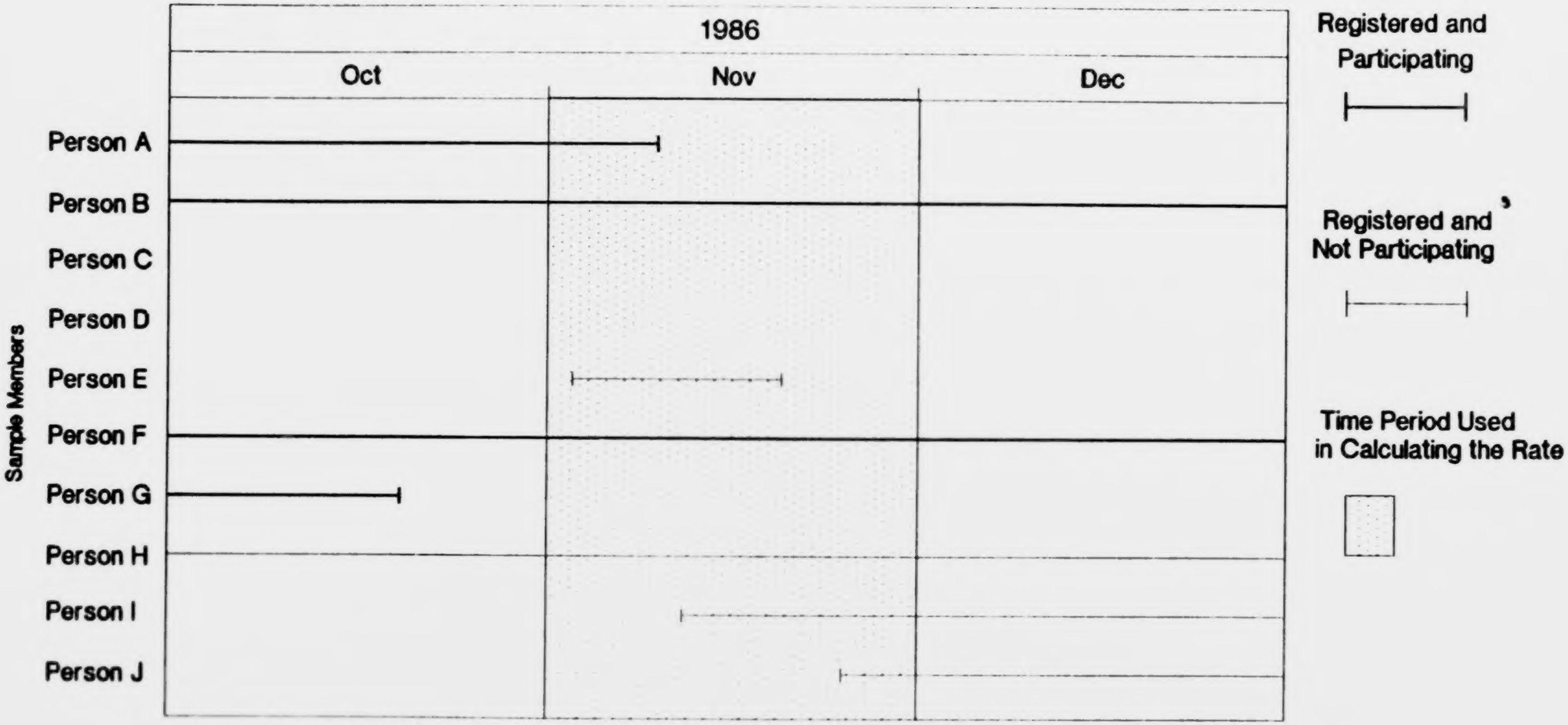
So far in this chapter, individuals eligible for the program in any month have been defined as those who were registered with SWIM for at least one day during that month. This is not the only way of defining which individuals were eligible for the program during each month of program operations. Other ways include defining program eligibles as individuals who were registered throughout the month or as individuals registered as of the beginning or end of a month.

To illustrate this point, Figure 7.6 shows an enlarged version of the

FIGURE 7.6

SWIM

ILLUSTRATION OF TIME PERIOD COVERED BY A MONTHLY PARTICIPATION RATE FOR NOVEMBER 1986 USING TEN HYPOTHETICAL SAMPLE MEMBERS



November 1986 column of Figure 7.1. Sample members' activities during this month are shown in the shaded area. Defining program eligibles as those who were registered throughout the month would "flag" Persons B, F and H. Of these three individuals, two were active during the month, resulting in a monthly participation rate of 66 percent. Defining program eligibles as those who were registered as of the end of the month would flag Persons B, F, H, I and J. Two of these five individuals were active, resulting in a monthly participation rate of 40 percent. Defining program eligibles as those who were registered at least one day during the month (the definition used so far in this chapter) would flag persons A, B, E, F, H, I and J as program eligibles. Three out of these seven registrants were active, yielding a monthly participation rate of 43 percent. As evident by this illustration, changing the definition of program-eligibles changes both the numerator and denominator of monthly participation rates.

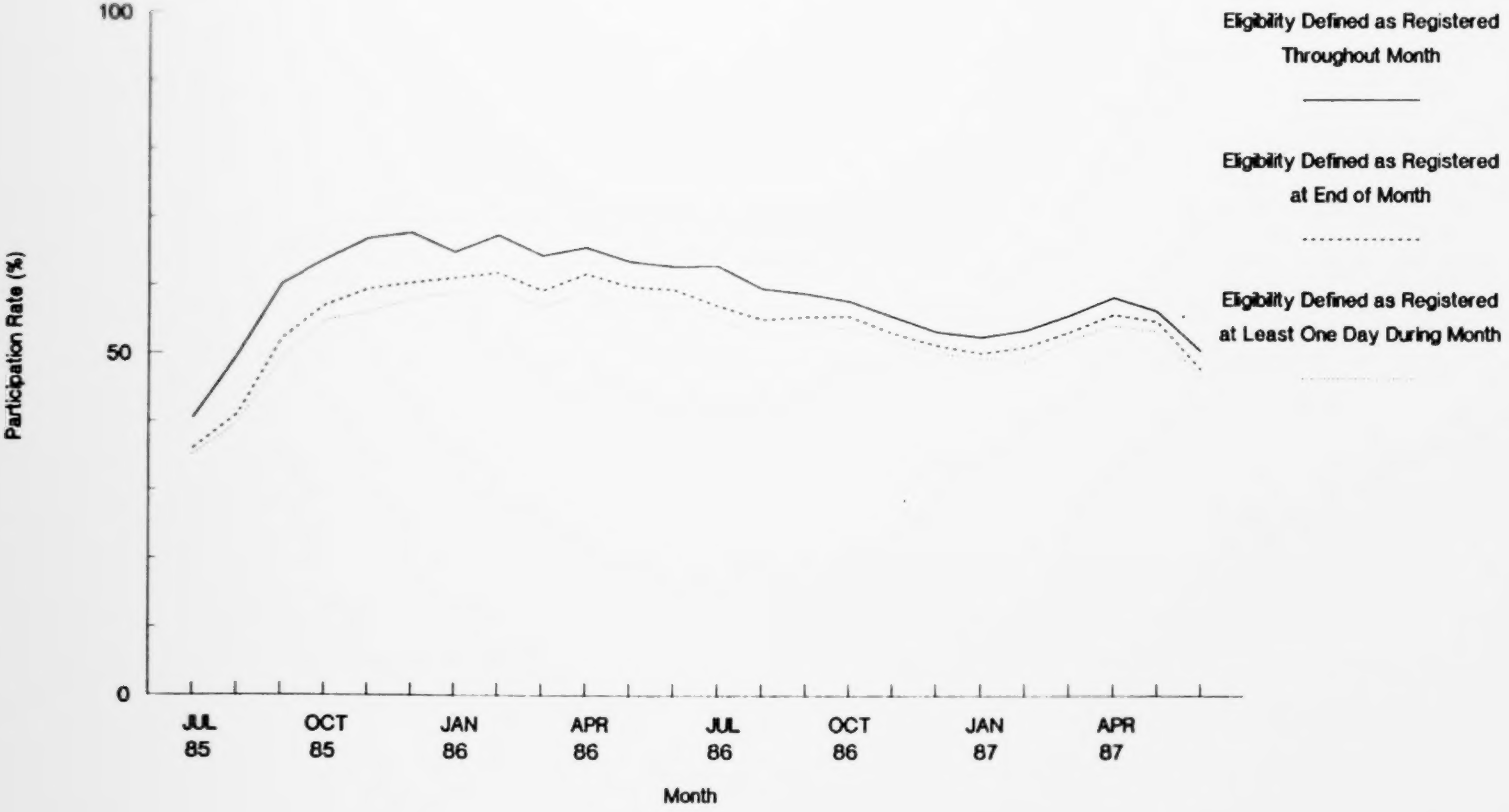
When the most comprehensive definition of participation is used, monthly participation rates vary between 3 and 11 percentage points each month, depending on how program-eligibles are defined (Figure 7.7).[8] As expected, the direction of the difference is consistent in every month: Participation rates are highest for those registered throughout the month. Rates including only those registered as of the end of each month are next. Monthly participation rates which define eligibles as those who were registered at least one day during the month are the lowest.

These differences are caused by the fact that changing the definition of program-eligibles in this way increases the denominator of the rates while decreasing the amount of time during which the program can work with an individual.[9] For example, some individuals were eligible for the

FIGURE 7.7

SWIM

PERCENT OF INDIVIDUALS ELIGIBLE FOR SWIM DURING EACH MONTH WHO PARTICIPATED IN ANY ACTIVITY, USING DIFFERENT ELIGIBILITY CRITERIA



program for only a short period of time during a month. Some of these short-term eligibles probably did not receive services because they were registered with the program for too short of a time; applicants denied welfare would fall into this category. Another group of individuals probably registered with the program during the month. Some of these new registrants would be assigned to activities that were scheduled to begin during the following month.

The 3 to 11 percentage point differences in these rates for the SWIM program do not seem to warrant much concern in and of themselves. However, if the continuation of a program depended on the achievement of a specific rate, or funding decisions were affected by participation rates, this small difference could become important.

It is likely that the effect of changing the definition of program-eligibles would depend, in part, on the type of program operated. In a program with a high registrant turnover rate (e.g., a program targeted only toward welfare applicants), which conducts extensive assessments when individuals initially enter the program, defining program-eligibles as those eligible for the program throughout the entire month may yield the highest rate. In this type of program, a large group of registrants may stay in the program for only a short period of time and, due to the extensive assessment activities at the beginning of the program model, may never reach the participation stage of the model. Defining program-eligibles as those registered at least one day during the month would put this type of program at a disadvantage in meeting monthly participation targets, relative to programs that did not have such pre-participation components and such high turnover.

In programs like SWIM -- where the targeted population included the entire WIN-mandatory caseload and individuals were immediately assigned to job search at registration -- defining program-eligibles as those registered at least one day during each month seems appropriate. Only a small proportion -- approximately 9 percent -- of each monthly registrant caseload during the second year of SWIM consisted of individuals who registered with the program during the month. Thus, registrant turnover was not high. Also, most of these new registrants would be expected to participate within a short time of registration.

From a practical point of view, the type of program activity tracking systems available in a locality would determine the ease with which any of these rates could be calculated. Defining program-eligibles as those who were registered throughout a month would generally be the most difficult of all to calculate, since this would require knowledge of registrants' eligibility status as of every day of the month.

VI. Participation Rates in SWIM, Varying the Period of Time over Which Rates are Calculated

So far in this chapter, participation rates have been presented as monthly rates. The period of time over which rates are calculated can, of course, vary. Other plausible time periods are a day (e.g., the last day of each month) or a quarter.

It is useful to illustrate the different rates using the same hypothetical sample members as depicted in Figure 7.6. A participation rate calculated as of the last day of October 1986 would result in a rate of 75 percent: Three of the four individuals eligible as of that day were active as of that day. A participation rate calculated for the month of October 1986 would yield a rate of 80 percent: Four of the five individuals who were eligible for the program at some time during the month were active during the month. For the hypothetical sample members, participation rates calculated for the months of October, November and December 1986 would be, respectively, 80 percent, 43 percent, and 40 percent. A participation rate calculated for the three months together (i.e., for the last quarter of 1986) would produce a rate of 50 percent: Four of the eight individuals who were eligible at any point during the quarter were active during the quarter.

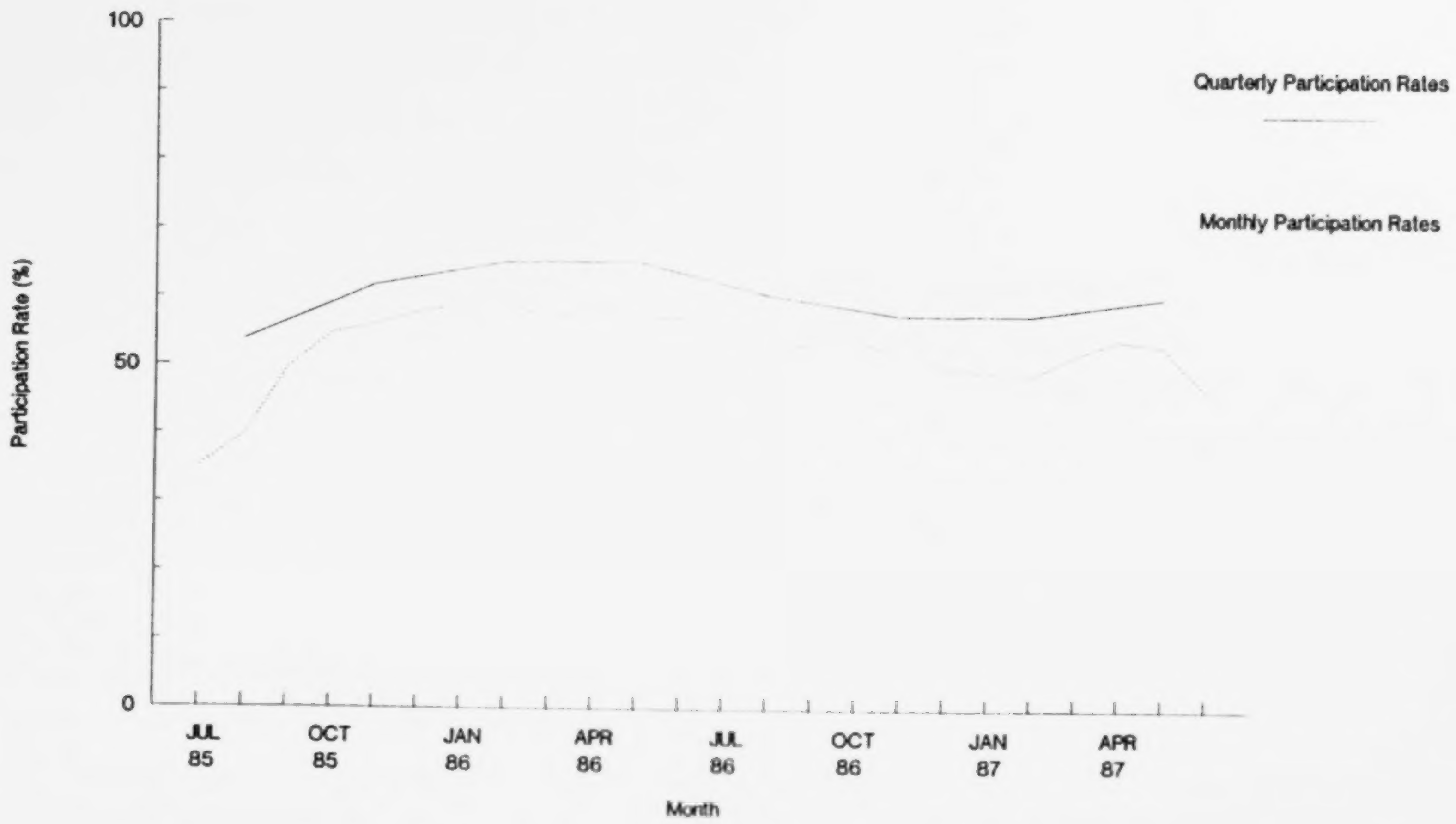
Quarterly participation rates in SWIM are compared with monthly participation rates in Figure 7.8. (Note that the quarterly rates are graphed at the middle month of each quarter.) For both types of rates, participation included program-arranged activities, self-initiated education or training, and employment. As can be seen, quarterly rates in SWIM were higher than monthly participation rates. This is attributable to the fact that registrants were more likely to participate during at least one of the three months in each quarter than in one specific month. Although not depicted in the figure, this pattern held true regardless of whether self-initiated activities or employment were counted as participation.[10] The difference between the quarterly rate and the corresponding monthly rate within each quarter ranged between 4 and 19 percentage points.

As with the differences in monthly participation rates according to the definition of program-eligibles, the generally small difference between these two types of rates does not seem troublesome in and of itself. Nor does one type of rate necessarily yield more information about the program

FIGURE 7.8

SWIM

PERCENT OF INDIVIDUALS ELIGIBLE FOR SWIM DURING EACH QUARTER OR MONTH WHO PARTICIPATED IN ANY ACTIVITY



234

235

than the other. However, if policy decisions are to be based on the achievement of a specific participation rate, even the small difference between the two could become important.

VII. Reasons for Nonparticipation During Selected Months

As the preceding sections of the chapter indicate, depending on the way the rate is calculated, approximately half of those eligible for SWIM in any given month actually participated in some type of activity or were employed during the month. This section examines those who were not active during selected months and analyzes possible reasons for nonparticipation during these months. The results shed light on the factors that constrain monthly participation rates and the issue of whether the maximum participation levels possible in the program were achieved.

This section addresses three separate questions: First, to what extent are those categorized as inactive the same individuals each month? That is, did a certain group of individuals remain eligible for the program for a long period of time and never participate?[11] Second, do the demographic characteristics of inactive registrants differ from those of participants? Third, for what reasons did individuals not participate?

A. Turnover Among Inactives

To examine whether the same individuals were inactive month after month, one must first determine the extent to which the same individuals were eligible for SWIM month after month, and then determine the extent to which these continuously registered individuals never participated.

The data indicate that 1,411 individuals were continuously registered during the second year of SWIM (i.e., registered with the program for at least one day during every month between July 1986 and June 1987). These 1,411 individuals represented about two-fifths -- between 36 percent and 45 percent -- of the number of SWIM-eligible registrants in any given month during this period. The data also indicate that only 266 of these individuals did not participate at all during the second year of SWIM. These 266 individuals represented between 13 and 19 percent of the SWIM-eligibles in any given month who did not participate in that particular month.

Thus, registrants eligible for the program but inactive during any given month were generally not the same individuals month after month: Less than half of those eligible for the program in any given month were eligible for the program throughout the second year of SWIM. In addition, less than one-fifth of these continuously eligible individuals did not participate at some point during the 12-month period.

B. Demographic Characteristics of Nonparticipants in Selected Months

In order to identify what types of registrants were inactive, the demographic characteristics (measured at initial program registration) of nonparticipants were compared to those of participants among those eligible for SWIM for at least one day in July 1986 or November 1986. Participation included program-arranged activities, self-initiated education or training, or employment.

Participants and nonparticipants differed along several key dimensions. (See Table 7.3.) The most striking feature of the comparison, apparent for both the July and November samples, is the preponderance of applicants among the nonparticipants: Over half of the nonparticipants in each month were applicants compared with only 35 to 39 percent of the participants. Several of the other demographic differences between the two

TABLE 7.3

SWIM

SELECTED CHARACTERISTICS OF SWIM-ELIGIBLES AT THE TIME OF INITIAL SWIM REGISTRATION, BY PARTICIPATION STATUS IN JULY AND NOVEMBER, 1986

Characteristic	July 1986 Participants	July 1986 Non-Participants	November 1986 Participants	November 1986 Non-Participants
Office (%)				
Service Center	53.0	52.1	51.4	51.3
San Diego West	47.0	47.9	48.6	48.7
AFDC Status (%)				
Applicant	35.3	50.3***	38.8	54.6***
Renewed Recipient	39.7	25.6***	31.3	21.1***
Redetermined Recipient	25.0	24.1	29.9	24.3**
Welfare Status (%)				
AFDC	66.8	66.4	70.1	63.9**
AFDC-U	33.2	33.6	29.9	36.1
Average Age (Years)	34.3	33.0***	34.0	32.9***
Sex (%)				
Male	34.7	37.0	31.3	38.7***
Female	65.3	63.0	68.7	61.3***
Ethnicity (%)				
White, Non-Hispanic	24.1	21.4	24.0	23.4
Black, Non-Hispanic	34.5	38.6	34.4	38.1
Hispanic	32.5	35.8	32.0	34.0
American Indian/Alaskan Native	0.0	0.1[a]	0.1	0.3[a]
Asian and Pacific Islander	7.8	3.5***	9.0	3.3***
Other	1.0	0.5	0.4	0.8[a]
Degree Received (%)				
High School Diploma	45.4	42.0	45.1	44.3
GED	7.8	7.2	9.1	6.3*
None	46.8	50.7	45.8	49.4
Marital Status (%)				
Never Married	21.8	27.3**	24.1	28.2*
Married, Living with Spouse	32.2	30.2	29.1	33.8*
Married, Not Living with Spouse	17.7	21.7*	19.9	17.1
Widowed or Divorced	28.3	20.8***	26.9	20.8***

(continued)

TABLE 7.3 (continued)

Characteristic	July 1986		November 1986	
	Participants	Non-Participants	Participants	Non-Participants
Mandatory AFDC with Child Less Than 6 (%)	4.4	2.5*	7.5	3.5***
Monolingual in a Language Other Than English (%)				
Spanish	10.8	13.0	10.4	13.4*
Other	0.9	0.0[a]	0.6	0.4[a]
Undocumented Worker (%)	0.0	6.0***	0.0	7.0***
Prior AFDC Dependency (%)				
Never on AFDC	13.9	24.4***	15.0	22.8***
1-11 Months	7.1	7.4	7.9	10.1
12-23 Months	8.7	8.1	7.7	8.4
24-35 Months	9.4	8.6	8.9	6.9
36-47 Months	8.4	6.5	8.7	6.0*
48-59 Months	7.7	5.6	6.4	5.6
60 Months or More	44.8	39.4*	45.6	40.2**
Average Number of Months Ever on AFDC	60.8	53.5**	57.5	52.9
Average Number of Months on AFDC During 24 Months Prior to Initial Registration	15.6	12.9***	15.1	12.2***
Length of Time Employed During 24 Months Prior to Initial Registration (%)				
Not Employed	44.7	40.6	43.2	39.1
1 Week to 6 Months	17.9	20.4	17.3	19.2
7-12 Months	14.2	14.6	12.5	14.3
13-18 Months	7.6	9.0	9.7	9.5
19-24 Months	15.7	15.4	17.3	17.9
Held a Job at Any Time During Four Quarters Prior to Initial Registration (%)[b]	43.4	42.7	44.1	43.4
Estimated Earnings During 24 Months Prior to Initial Registration (%)				
$0	44.7	40.6	43.1	39.0
$1-$1000	12.9	17.2**	12.3	14.2
$1001-$5000	18.7	16.4	19.1	18.2
$5001-$10,000	12.0	11.9	12.4	12.9
Over $10,000	11.7	13.8	13.1	15.8

(continued)

TABLE 7.3 (continued)

Characteristic	July 1986		November 1986	
	Participants	Non-Participants	Participants	Non-Participants
Average Earnings During Four Quarters Prior to Initial Registration ($)[b]	2334.52	2127.66	2290.75	2498.70
Received Unemployment Compensation During 12 Months Prior to Initial Registration (%)[b]	9.9	9.6	10.0	10.9
Average Amount of Unemployment Compensation During 12 Months Prior to Initial Registration ($)[b]	163.28	173.90	182.41	161.89
Registered Prior to Review Month (%)	94.6	76.9***	96.0	88.9***
Sample Size[c]	1746	1427	1800	1668

SOURCE: MDRC Client Information Sheets, the State of California Unemployment Insurance earnings and benefits records, and the County of San Diego Department of Social Services SWIM Automated Tracking System and EWEP attendance logs.

NOTES: The sample for this table includes individuals who were eligible for SWIM in July or November, 1986.

The sample is weighted to reflect the actual number of SWIM-Eligibles.

Distributions may not add to 100.0 percent due to rounding.

A chi-square or t-test was applied to differences between participants and non-participants within each review month. Statistical significance levels are indicated as: * = 10 percent; ** = 5 percent; *** = 1 percent.

[a] Chi-square test inappropriate due to low expected cell frequencies.

[b] These data are calculated from the State of California Unemployment Insurance earnings records and include zero values for sample members not employed and for those not receiving Unemployment Compensation. Individuals without social security numbers were excluded from these calculations.

[c] For selected characteristics, sample sizes may vary up to 5 sample points due to missing data.

groups reflect the dominance of applicants among the nonparticipants. Nonparticipants were more likely to have never been on welfare prior to registering with the program. Nonparticipants, on average, had less extensive welfare histories during the two years prior to initial program registration as well as throughout their life. Nonparticipants were more likely to have just registered with the program, that is, during either of the two months; nonparticipants were younger than participants on average. Finally, nonparticipants were more likely never to have married and less likely to have been widowed or divorced.

The results highlight two other key differences as well. Between 6 and 7 percent of the nonparticipants were undocumented workers. And nonparticipants were much less likely than participants to be mandatory AFDC parents with a child younger than six years old ('soft mandatories'). This is simply a function of WIN registration requirements. Single parents who are in school are designated as WIN-mandatory registrants, even though they have young children. This is because the fact that the parents are in school is taken to mean that they do not have to take care of their children. Nonparticipants were also less likely than participants to be Asian.

The results suggest two possible primary reasons for nonparticipation. Some applicants may have not participated in the program because they were eligible for program services for only a short time during the month, perhaps because their applications were never approved. Other applicants, who might have recently registered with the program, may have been assigned to activities scheduled to begin the following month.

C. Possible Reasons for Nonparticipation in Selected Months

To analyze reasons for nonparticipation, MDRC staff reviewed the program case files of a random sample of individuals who, although eligible for SWIM in July 1986 or November 1986, did not participate during these months.[12] A total of 99 registrants were included in this analysis -- 57 were nonparticipants in July 1986 and 42 were nonparticipants in November 1986.[13] The findings suggest that the monthly participation rates observed in SWIM were close to the maximum feasible in the program.

Most (72 percent) of the inactive registrants were not scheduled (i.e., expected) to participate during July or November 1986. (See Table 7.4.) Only 17 percent were assigned to an activity that was to start during one of these months or that was scheduled to continue into one of these months. For 11 percent of the registrants, their case files did not indicate whether program staff expected them to participate during July or November.

Among those inactive during July or November 1986, regardless of whether they were expected to participate during these months, over 25 percent of the nonparticipants had legitimate "personal" or situational reasons for not participating during the reviewed months. Included here were registrants who were ill during the month or caring for someone else who was ill, and individuals with childcare problems. Very few had "personal" reasons for their lack of activity which were considered not legitimate by the program. Only 5 percent were inactive due to noncooperation.

Thirty-eight percent of all nonparticipants did not participate during the review months due to "program" reasons. Over two-fifths of these

TABLE 7.4

SWIM

PERCENTAGE DISTRIBUTION OF REGISTRANTS' REASONS FOR NON-PARTICIPATION, BY EXPECTED PARTICIPATION STATUS

Reasons for Non-Participation[a]	Participation Expected	Participation Not Expected	Expectation for Participation Not Found in Casefile	Total Non-Participant Sample
Non-Participation Due to Registrant's Personal Situation	64.7	19.7	0.0	25.3***
Registrant's Health Problem	5.9	5.6	0.0	5.1
Other's Health Problem	11.8	2.8	0.0	4.0
Registrant Pregnant	0.0	5.6	0.0	4.0
Child Care Problem	17.6	1.4	0.0	4.0
Housing Problem	0.0	1.4	0.0	1.0
Registrant Moved	5.9	1.4	0.0	2.0
Registrant Uncooperative	23.5	1.4	0.0	5.1
Non-Participation Due to Staff Delays or Poor Follow-Up	0.0	18.3	9.1	14.1
Non-Participation Due to Program Model or Regulations	11.8	50.7	0.0	38.4***
Undocumented Worker	0.0	11.3	0.0	8.1
Less Than 18 Years of Age	0.0	1.4	0.0	1.0
Pending Appeal to Sanction	0.0	1.4	0.0	1.0
Pending Deregistration	5.9	5.6	0.0	5.1
Assigned, Waiting for Activity to Begin, SWIM-Eligible Throughout Month	0.0	14.1	0.0	10.1
Assigned, Waiting for Activity to Begin, Registered During Month	0.0	8.5	0.0	6.1
Active in Assessment	0.0	1.4	0.0	1.0
Normal Paperwork Delay	5.9	7.0	0.0	6.1

(continued)

TABLE 7.4 (continued)

Reasons for Non-Participation[a]	Participation Expected	Participation Not Expected	Expectation for Participation Not Found in Casefile	Total Non-Participant Sample
Non-Participation Due to Other Reasons[b]	5.9	4.2	0.0	4.0
Reason for Non-Participation Not Found in Casefile[b]	5.9	0.0	0.0	1.0*
Actually Participated, Incorrect Tracking System Data, or Incomplete Casefile	11.8	7.0	90.9	17.2***
Total	100.0	100.0	100.0	100.0
Total Number of Registrants	17	71	11	99

SOURCE: MDRC calculations from casefile reviews of randomly selected registrants who were inactive during July or November 1986.

NOTES: Distributions may not add to 100.0 percent and subcategory percentages may not add to major category percentages due to rounding.

Expected participation status is defined as whether or not the registrant was assigned to, or was expected to continue in, an activity during the review month.

A chi-square test was applied to differences between the expected participation statuses for major categories. Statistical significance levels are indicated as: * = 10 percent; ** = 5 percent; *** = 1 percent.

[a] Only primary reasons for non-participation are included in the table. Seven people had additional reasons for non-participation including: attended another appointment, assigned (waiting for activity to begin), participated in assessment interview (this does not count as participation), normal paperwork delays, and did not attend assigned activity for some other reason.

[b] "Other Reasons" for non-participation include: registrant in jail during the month, change in registration status, deferred from program to complete public service work, did not attend reappraisal meeting for good cause. The registrant for whom no reason was found missed a workshop and was automatically rescheduled with no documented reason.

individuals had been assigned to a program component and were waiting for it to begin. Over one-fifth of this group were undocumented workers. Another group of these individuals were pending deregistrations.

About 14 percent of the nonparticipants were apparently "lost" in the program, reflecting long paperwork delays or a lack of follow-up.

About 17 percent of all sampled nonparticipants actually participated during the review months, according to the case files, or their case files did not contain sufficient documentation to confirm nonparticipation during the month. Most of these individuals reflected lack of data entry into the automated tracking system used to select the sample.[14]

The results indicate some differences in the reasons for nonparticipation between AFDC and AFDC-U registrants, although the small samples necessitate caution in generalizing from these results. AFDC registrants were more likely, compared to AFDC-U registrants, to be nonparticipants due to personal situations. Notable here, however, was that very few (5 percent) of the AFDC nonparticipants were not active due to childcare problems. Also evident was that AFDC-U's were more likely to be nonparticipants due to the program model or program regulations. Most notable here was that 24 percent of the AFDC-U nonparticipants were undocumented workers, as compared to 3 percent of the AFDC nonparticipants.

Further investigation of the individuals in this sample indicated that the demographics of the nonparticipants did not differ according to the type of reason (personal, program model-related, or lack of follow-up) for inactivity.

A final point, which is very important, is that a review of the tracking data for these 99 individuals indicated that for most of the sample, July and November 1986 represented only temporary inactivity. Two-thirds of the sample participated either before their inactive month or after it. Only one-third of those who were not participating during the review months never participated in SWIM.

In summary, the monthly participation rates observed in SWIM were close to the maximum feasible in this program, even though the rates fell short of the 75 percent goal. First, according to case file reviews, close to 90 percent of those eligible for program services in any month were either active or otherwise complied with program requirements during the month, even if they did not participate. Inactive registrants who were complying had legitimate personal reasons for not participating; were not appropriate for assignment to a component; or were assigned to a component scheduled to begin at a later date. Only one-tenth of those eligible in any month (about one-fifth of those inactive during the selected months) were inactive due to non-cooperation or program staff failure to assign or follow up registrants. Second, the majority of those not participating in a given month were temporarily inactive; most of these individuals had participated prior to their "inactive" month or they participated following their "inactive" month.

To corroborate these findings, Client Information Sheet (CIS) data, automated program activity data and welfare data for all those inactive during July 1986 and November 1986 were reviewed. These data are not as detailed as the information found in the case files for the small sample of registrants. However, they confirm that monthly participation rates of approximately 50 percent in any given month probably represent the maximum that the program could have achieved.

The percentages of nonparticipants in either month who fit certain program situations according to available data are shown in Table 7.5. These situations were sequentially defined so that each registrant would fall into only one category. For example, an undocumented worker who was also registered for less than ten days during the month would be categorized only as an undocumented worker. For comparison, data are also presented for those who participated during the two months.

Of the July 1986 nonparticipants, 6 percent were undocumented workers who did not qualify for program services. Another 3 percent were individuals who were active during June 1986 as well as August 1986. These registrants were probably "in between" program components or were temporarily excused from participation, perhaps due to illness. In addition to the above-mentioned individuals, a large portion of those inactive (28 percent) participated in either June or August 1986. Again, as of July 1986, these registrants were experiencing a temporary period of inactivity: They were "excused" for a short period of time, had just completed an activity or were about to start an activity.

Another 8 percent of the nonparticipants were registered for fewer than ten days during July 1986. These registrants registered and/or deregistered during the month. It is likely that these individuals did not participate because they were SWIM-eligible for only a short period of time during the month. Another 12 percent of the nonparticipants did not receive welfare during July 1986. Some of these individuals may have been applicants whose welfare applications were eventually denied and who, thus, did not participate. Finally, 26 percent of the July 1986 nonparticipants were active at some point in SWIM, although they did not participate during

24J

TABLE 7.5

SWIM

PERCENTAGE DISTRIBUTION OF SWIM-ELIGIBLES, BY PARTICIPATION STATUS AND RELATED ACTIVITIES OR STATUSES IN JULY AND NOVEMBER, 1986

Related Activity or Status	July 1986		November 1986	
	Participants	Non-Participants	Participants	Non-Participants
Undocumented Worker	0.0	6.0***	0.0	7.0***
Participated During Month Prior and Month After Review Month	62.7	2.9***	72.5	3.1***
Participated During Month Prior or Month After Review Month	30.6	27.8	23.5	18.6**
Registered Less than 10 Days During Review Month	0.4	8.1***	0.3	4.2***
No AFDC Received During Review Month	0.6	12.3***	0.2	12.9***
Ever Participated (but Non-Participant During Month Prior and Month after Review Month)	5.7	26.1***	3.5	35.4***
None of the Above Statuses	0.0	16.9***	0.0	18.8***
Total	100.0	100.0	100.0	100.0
Sample Size	1746	1427	1800	1668

SOURCE: MDRC calculations from the County of San Diego Department of Social Services SWIM Automated Tracking System, EWEP attendance logs, and the County of San Diego AFDC records.

NOTES: The sample for this table includes individuals who were registered for SWIM in July or November, 1986.

The sample is weighted to reflect the actual number of SWIM-Eligibles.

Distributions may not add to 100.0 percent due to rounding.

Participation is defined as attending EWEP for at least one hour or any other activity for at least one day.

A chi-square test was applied to differences between participants and non-participants within each review month. Statistical significance levels are indicated as: * = 10 percent; ** = 5 percent; *** = 1 percent.

the summer of 1986.

The 17 percent of the July 1986 nonparticipants who did not meet any of the above criteria were probably in a variety of situations. As indicated by the results of the case file reviews, some of these individuals may have been "lost" in the program; a number of them may have had deregistrations pending; and some may have been uncooperative and subsequently sanctioned.

The distribution of nonparticipants according to these characteristics was similar in the two months examined. Again, the results indicate that monthly participation rates of approximately 50 percent in any given month probably represent the maximum feasible rates that this program could have achieved.

* * * * *

As shown in this chapter, several different kinds of monthly participation rates can be calculated. Table 7.6 summarizes various rates for two months of the demonstration -- July and November 1986. The table illustrates many of the points made in the chapter.

Varying the types of activities which count as participation had the biggest effect on monthly participation rates. Varying the definition of program-eligibles, and varying the time period over which the rates are calculated, each had a small effect on the rates. Taking into account the participation of registrants prior to each month as well as subsequent to each month also had a substantial effect on the rates: Many of those inactive during specific months were only temporarily inactive. Lastly,

TABLE 7.6

SWIM

ALTERNATIVE ACTIVITY MEASURES FOR JULY AND NOVEMBER 1986

Definition of Rate	July 1986	November 1986
Varying Type of Activity Counted as Participation		
Percent of SWIM-Eligibles Registered at Least One Day During Month Who, During the Month, Participated in:		
Program-Arranged Activities	28.0%	21.3%
Program-Arranged Activities or Self-Initiated Education or Training	35.4	32.8
Program-Arranged Activities, Self-Initiated Education or Training, or Employment While Registered	55.0	51.9
Varying Definition of Program-Eligibles		
Percent of SWIM-Eligibles Who Participated in Program-Arranged Activities, Self-Initiated Education or Training, or Employment While Registered During the Month, Where "SWIM-Eligibles" are Defined as Those:		
Registered Throughout the Month	62.7	55.4
Registered as of the End of the Month	56.9	52.9
Registered at Least One Day in the Month	55.0	51.9
Varying Time Period Over Which Rates are Calculated		
Percent of Individuals Registered at Least One Day During the Third or Fourth Quarter of 1986 Who Participated in Program-Arranged Activities, Self-Initiated Education or Training, or Employment While Registered During the Quarter	60.5	57.6
Taking Into Account Temporary Periods of Inactivity		
Percent of SWIM-Eligibles Registered at Least One Day During the Month Who Participated in Program-Arranged Activities, Self-Initiated Education or Training, or Employment While Registered During the Month or:		
In the Prior Month as well as the Following Month	56.3	53.4
In the Prior Month or the Following Month	68.8	62.4

(continued)

TABLE 7.6 (continued)

SOURCE: MDRC calculations from the County of San Diego Department of Social Services SWIM Automated Tracking System and EWEP attendance logs.

NOTES: Participation is defined as attending EWEP for at least one hour or any other activity for at least one day. Program-arranged activities include Job Search Workshop, EWEP, Job Club, STAR, ISESA, OJT, or any program-arranged education or training. Self-initiated activities include education, training, union, or other job search activities. Only employment that occurred while an individual was registered is included.

and not shown in the table, the monthly participation rates achieved in SWIM appear to be close to the maximum feasible rates this program could have achieved: Most registrants who were inactive during specific months were complying with program requirements during the month, even if they were not participating. Only a small proportion (about 10 percent) of registrants eligible for services during a month were not active due to noncooperation or program staff failure to assign or follow-up appropriate registrants.

CHAPTER 8

IMPACTS ON EMPLOYMENT, EARNINGS AND WELFARE OUTCOMES

This chapter presents preliminary short-term impacts of the SWIM program on employment, earnings, welfare receipt and welfare payments. The findings are presented first for AFDC registrants, who are primarily heads of single-parent families (and female), and then for AFDC-U registrants, who are adults in two-parent families (and mostly male).

For AFDC registrants, SWIM achieved statistically significant gains in employment and earnings, as well as reductions in the percentage receiving welfare and in welfare payments. For AFDC-U registrants, SWIM resulted in statistically significant gains in employment and reductions in welfare payments. However, increases in earnings were not always statistically significant.

I. Analysis Issues

This chapter addresses two questions: What were the employment, earnings and welfare outcomes of those enrolled in the program? And what would these outcomes have been had the program not existed? These questions are answered by examining the behavior of an experimental group, eligible for SWIM services, as compared to a control group, which was similar in all respects but not offered SWIM services. Control group members were free to engage in self-initiated education and training activities but were not provided program services. The differences between the average outcomes for the experimental group and the control group yield estimates of program impacts. Outcome differences between experimentals and controls were considered statistically significant if there was no more than a 10 percent possibility they could have occurred by chance.

To ensure that the two groups were the same in measured and unmeasured characteristics, as noted in Chapter 2, AFDC and AFDC-U registrants were randomly assigned to either the experimental or the control group. The use of randomization in constructing the control group is the linchpin of experimental research. Successful random assignment assures that motivational and other unobserved differences among individuals will be balanced between the experimental and control groups in the comparison of final outcome differences.

The control group provides a benchmark of the normal employment and welfare turnover behavior. Even without the program, some individuals find employment or leave welfare within a relatively short period of time. Experimental-control differences enable this normal turnover to be excluded from the impact estimates.

In fact, the normal turnover was substantial. Although most controls received welfare benefits during the first quarter of follow-up, many found work and left welfare relatively quickly without special assistance. Further, the registrants' own earnings are not the only way off welfare. Among controls, for example, more than half of those who received no welfare payments during the fourth quarter also had no earnings. As is known from other research, registrants may leave welfare because of marriage or reconciliation, children who age out of dependent status, increased earnings of other family members, and other changes in family circumstances.[1]

Although there is considerable information about the extent of participation of SWIM experimentals in a wide range of activities, as indicated in the prior chapters in this report, little is known about the services received by the control group. Although controls did not participate in the SWIM program, at registration 15 percent of the AFDC controls and 10 percent of the AFDC-U controls were in some type of education and training programs. Controls, on their initiative, may have also entered education and training programs at any time during the follow-up period. (The final report will provide more information on the activities of the control group.)

It is important to recognize, however, that randomization dictates the comparisons that can be made and, therefore, the impacts that can be estimated. First, all persons randomly assigned must be included in the impact calculations in order for the estimates to be unbiased. Since nonparticipants were reached by sanctioning, and sanctioning can result in impacts, particularly on welfare payments, any effect of sanctions on nonparticipants must be included in program impact estimates. Thus, comparisons of all controls with all experimentals, including nonparticipants and participants, are appropriate in evaluating a mandatory program such as SWIM.

Second, earnings and AFDC payment estimates must also include sample members not employed or not receiving welfare, assigning them zero dollar values. To the extent that the program converts non-earners into earners, or welfare recipients into non-recipients, exclusion of zero values from both the control and experimental group estimates could lead to an underestimate of program impacts.

Unemployment Insurance earnings data were collected by calendar quarter. Since random assignment could have taken place at any point during this three-month period, the quarter in which random assignment occurs may include earnings before random assignment. The AFDC monthly payments data were aggregated into calendar quarters in order to match these earnings measures. Therefore, the quarter of random assignment is not counted as a follow-up quarter for cumulative impact estimates.

In the present analysis, data are available for examining impacts for a relatively short period after random assignment. The employment and earnings data are available for three, and the AFDC data for four, additional quarters beyond the quarter of random assignment. The final report will include a longer period of follow-up and provide a better assessment of longer-term impacts.

II. Impacts for the AFDC Registrants

This section examines the impacts of SWIM on employment, earnings, welfare outcomes and measured income (defined as the sum of welfare and earnings) for AFDC registrants. It also looks at differences in impacts between applicants and recipients, and discusses preliminary evidence on longer-term impacts.

A. Employment and Earnings Impacts

Table 8.1 and Figure 8.1 present impacts of the SWIM program among the AFDC group during the three-quarter follow-up period.[2] As noted, SWIM had statistically significant impacts for AFDC registrants on all four major outcomes: increased employment, higher earnings, less time on welfare and reduced welfare payments. Over the time period as a whole, experimentals

TABLE 8.1

SWIM

ALL AFDC: SHORT-TERM IMPACTS ON EMPLOYMENT, EARNINGS, WELFARE RECEIPT, AND WELFARE PAYMENTS

Outcome and Follow-Up Period	Experimentals	Controls	Difference
Ever Employed, Quarters 2-4 (%)	46.4	36.4	+10.0***
Average Number of Quarters with Employment, Quarters 2-4	0.97	0.76	+0.22***
Ever Employed (%)			
Quarter of Random Assignment	27.9	25.1	+2.7**
Quarter 2	30.8	24.6	+6.3***
Quarter 3	32.9	25.3	+7.6***
Quarter 4	33.5	25.7	+7.8***
Average Total Earnings, Quarters 2-4 ($)	1442.00	1185.47	+256.54***
Average Total Earnings ($)			
Quarter of Random Assignment	296.68	285.23	+11.44
Quarter 2	371.00	338.25	+32.76
Quarter 3	497.69	392.03	+105.66***
Quarter 4	573.31	455.19	+118.12***
Ever Received Any AFDC Payments, Quarters 2-5 (%)	91.1	91.9	-0.7
Average Number of Months Receiving AFDC Payments, Quarters 2-5	8.59	9.12	-0.53***
Ever Received Any AFDC Payments (%)			
Quarter of Random Assignment	91.2	91.4	-0.3
Quarter 2	89.7	89.7	-0.1
Quarter 3	78.9	81.5	-2.6**
Quarter 4	70.6	76.0	-5.5***
Quarter 5	65.8	72.4	-6.5***
Average Total AFDC Payments Received, Quarters 2-5 ($)	4424.00	4827.08	-403.08***
Average AFDC Payments Received ($)			
Quarter of Random Assignment	1193.27	1194.12	-0.86
Quarter 2	1286.17	1331.93	-45.76**
Quarter 3	1119.45	1224.55	-105.10***
Quarter 4	1031.55	1159.81	-128.27***
Quarter 5	986.83	1110.78	-123.95***
Sample Size	1606	1605	3211

(continued)

TABLE 8.1 (continued)

SOURCE: MDRC calculations from the County of San Diego AFDC records and the State of California Unemployment Insurance earnings records.

NOTES: The sample for this table includes individuals who registered between July 1985 and June 1986.

These data include zero values for sample members not employed and for sample members not receiving welfare. These data are regression-adjusted using ordinary least squares, controlling for pre-random assignment characteristics of sample members. There may be some discrepancies in calculating sums and differences due to rounding.

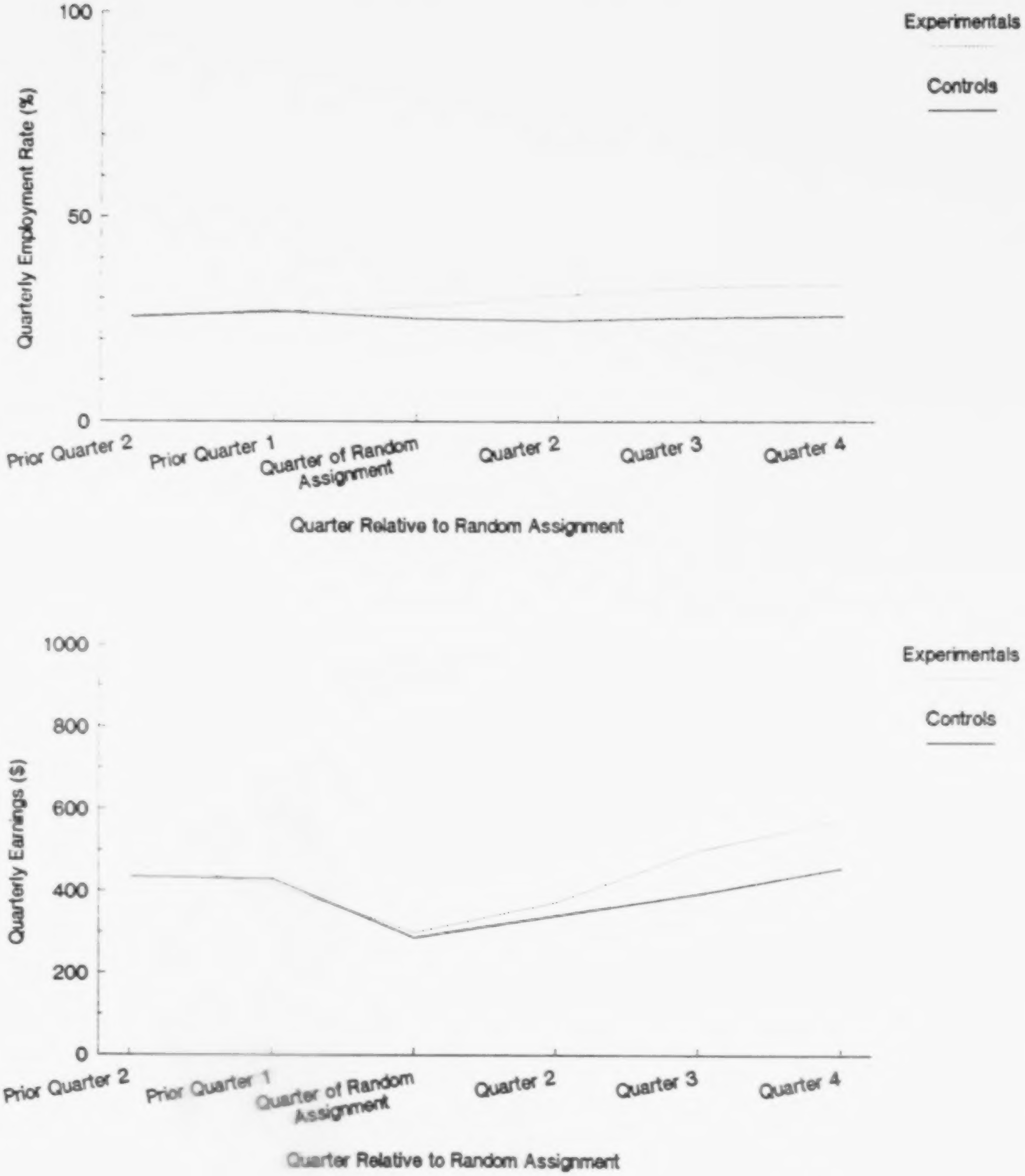
For all measures, the quarter of random assignment refers to the calendar quarter in which random assignment occurred. Because Quarter 1, the quarter of random assignment, may contain some earnings and AFDC payments from the period prior to random assignment, it is excluded from the summary measures of follow-up.

A two-tailed t-test was applied to differences between experimental and control groups. Statistical significance levels are indicated as: * = 10 percent; ** = 5 percent; *** = 1 percent.

FIGURE 8.1

SWIM

AFDC: SHORT-TERM IMPACTS ON EMPLOYMENT AND EARNINGS



were more likely to be employed than controls: 46.4 percent of experimentals in contrast to 36.4 percent of controls, a statistically significant difference of 10 percentage points. Employment gains continued over the three follow-up quarters. In quarter 2, the employment rate for experimentals was 6.3 percentage points higher than the control average employment rate of 24.6 percent. By the fourth quarter, the employment rate among experimentals was 7.8 percentage points higher than the control average employment rate of 25.7 percent.

Experimentals also earned $257 more than the control group average of $1,185 over the follow-up period as a whole -- a statistically significant increase of 22 percent. Statistically significant earnings increases were found beginning in the third quarter. By the final quarter, earnings gains peaked at $118.

Two different factors could have accounted for this earnings increase: (1) an increase in employment rates and/or (2) higher earnings (either more hours worked or higher average hourly wage rate or some combination) among those employed. A comparison of the earnings of employed experimentals and employed controls (presented in Appendix Table F.2) suggests that the earnings impacts are primarily due to increased employment. In fact, earnings among those employed were slightly lower for experimentals ($1,711 in quarter 4) than controls ($1,772 in quarter 4). Thus, the effect of the program seems to be to encourage those who would not have worked in the absence of the program to work, at least in the short run, rather than creating opportunities for higher earnings among those who would have worked without the program. However, it should be noted that this is a non-experimental comparison; the characteristics of experimentals who are employed may be different from those of employed controls.

B. Welfare Impacts

The impacts of the SWIM program on the percentage receiving welfare and welfare payments are shown in Table 8.1 and Figure 8.2. As expected, SWIM did not affect the percentage of registrants who received welfare during the full follow-up period, since the proportion of both experimentals and controls receiving welfare during the quarter of random assignment is similar for both groups. On average, experimentals were receiving welfare benefits for fewer months than controls. By the end of the four-quarter follow-up period, there were statistically significant reductions in welfare receipt. In the last quarter of follow-up, for instance, the proportion of experimentals receiving welfare was approximately 6.5 percentage points less than the control group rate of 72.4 percent.

There were statistically significant welfare savings as well, both during the full follow-up period as well as quarter by quarter. Experimentals received $403 less in welfare payments during the four-quarter follow-up period than the control group average payment of $4,827. Welfare savings increased through the fourth quarter and then leveled off. By the fifth quarter, welfare payments to experimentals were $987 as compared to $1,111 for controls, yielding a grant reduction of $124.

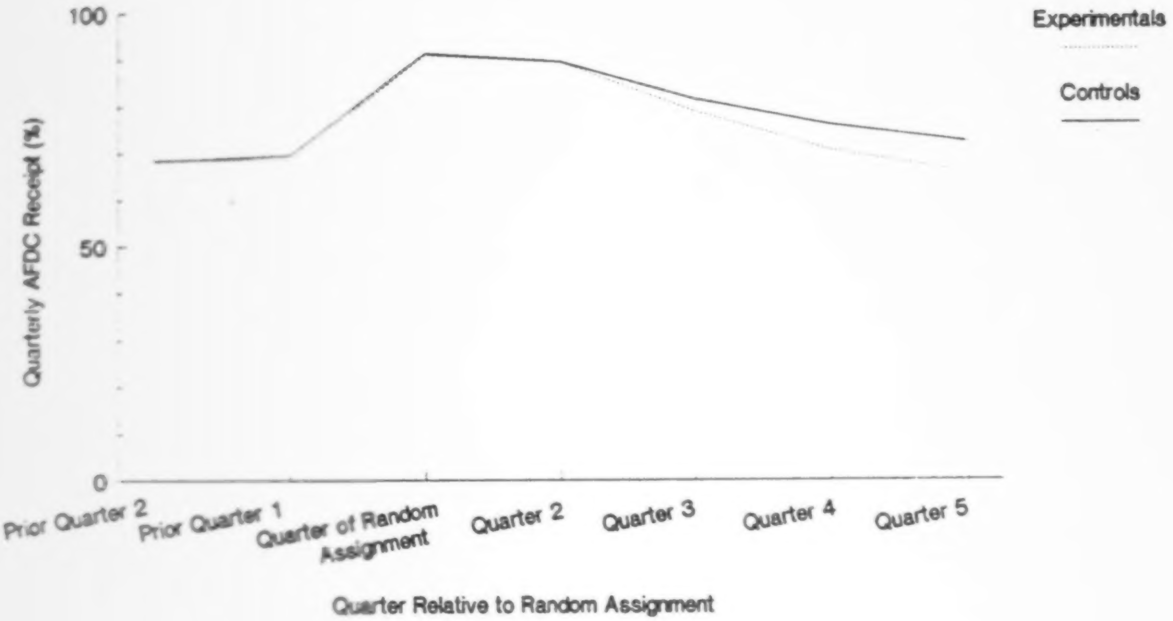
C. Other Impacts

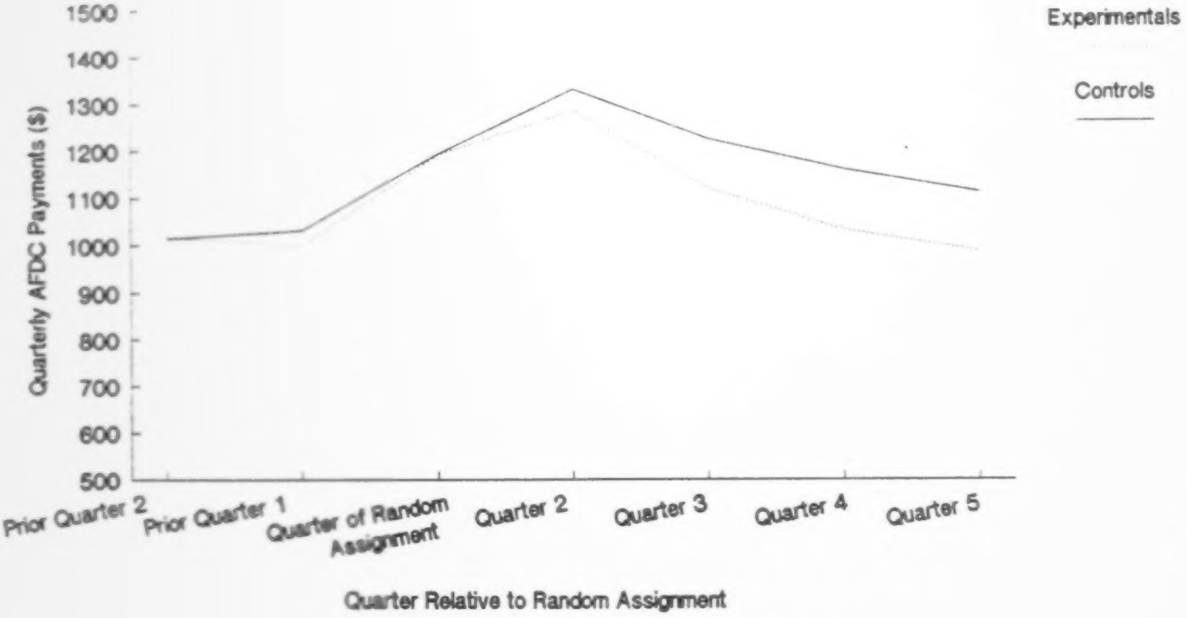
Table 8.2 presents program impacts on the distribution of earnings, the mixing of earnings and welfare, and measured income (which is the sum of earnings and welfare payments). The fourth quarter is used for this analysis because it is probably most indicative of the longer-term impacts.

FIGURE 8.2

SWIM

AFDC: SHORT-TERM IMPACTS ON AFDC RECEIPT AND PAYMENTS





264

TABLE 8.2

SWIM

ALL AFDC: SHORT-TERM IMPACTS ON DISTRIBUTION OF EARNINGS, EARNINGS/WELFARE MIX, AND MEASURED INCOME IN QUARTER FOUR

Employment and Welfare Outcomes	Experimentals	Controls	Difference
Average Total Earnings, Quarter 4 (%)			
None	66.5	74.3	-7.8***
\$1 - \$1500	18.1	13.7	+4.4***
More Than \$1500	15.5	12.1	+3.4***
Total	100.0	100.0	
Employment and Welfare Status, Quarter 4 (%)			
Had No Earnings, Received Some AFDC Payments	50.4	60.4	-9.9***
Had No Earnings, Received No AFDC Payments	16.0	13.8	+2.1*
Had Some Earnings, Received Some AFDC Payments	20.1	15.7	+4.4***
Had Some Earnings, Received No AFDC Payments	13.5	10.1	+3.4***
Total	100.0	100.0	
Average Measured Income, Quarter 4 (%)[a]			
None	16.0	13.8	+2.1*
\$1 - \$1500	35.2	37.6	-2.4
More Than \$1500	48.9	48.5	+0.3
Total	100.0	100.0	
Average Measured Income (\$)[a]	1604.86	1615.00	-10.15
Sample Size	1606	1605	3211

(continued)

TABLE 8.2 (continued)

SOURCE: MDRC calculations from the County of San Diego AFDC records and the State of California Unemployment Insurance earnings records.

NOTES: The sample for this table includes individuals who registered between July 1985 and June 1986.

These data include zero values for sample members not employed and for sample members not receiving welfare. These data are regression-adjusted using ordinary least squares, controlling for pre-random assignment characteristics of sample members. There may be some discrepancies in calculating sums and differences due to rounding.

For all measures, the quarter of random assignment refers to the calendar quarter in which random assignment occurred. Because Quarter 1, the quarter of random assignment, may contain some earnings and AFDC payments from the period prior to random assignment, it is excluded from the summary measures of follow-up.

A two-tailed t-test was applied to differences between experimental and control groups. Statistical significance levels are indicated as: * = 10 percent; ** = 5 percent; *** = 1 percent.

[a]Average measured income is defined as personal earnings plus welfare payments received during a quarter.

The first panel of Table 8.2 shows the impact of SWIM on the earnings distribution. SWIM moved experimentals out of the no earnings category into both the category with quarterly earnings of $1-$1,500 and the category with quarterly earnings over $1,500. Experimentals were less likely to have no earnings in the fourth quarter than controls, a statistically significant difference of 7.8 percentage points. This, combined with the fact that the experimental-control differences in both earnings categories were similar, also supports the notion that earnings gains were due to increases in employment rather than to higher earnings for those employed.

The second panel shows the impact of SWIM on AFDC registrants' combined income and welfare. By quarter 4, SWIM had reduced the proportion of registrants receiving welfare and no earnings, and increased the proportion who received both welfare and earnings and the proportion who were completely off welfare and receiving earnings. There was also a small, but statistically significant, increase in the proportion receiving neither welfare nor earnings. These individuals may be substituting income from other family members; they may also have decided to leave welfare rather than participate in a mandatory program.

The bottom panel of Table 8.2 presents the impacts on measured income, which is the sum of the individual's own earnings plus the amount of welfare payments recorded for that case. There were no statistically significant differences in average measured income between experimentals and controls in any follow-up quarter. (See Appendix Table F.3.) Further, experimentals were slightly more likely than controls to have no measured income. These findings indicate that earnings gains were offset by reductions in AFDC payments for the AFDC sample as a whole.

D. Impacts among Applicants and Recipients

Evaluations of other programs included in MDRC's Demonstration of State Work/Welfare Initiatives have revealed differences in impacts for persons applying for welfare at the point they were randomly assigned (called applicants) versus individuals already on the welfare rolls at random assignment (called recipients). Table 8.3 presents impacts separately for the two groups. Approximately 40 percent of the total AFDC sample are applicants and 60 percent are recipients. As documented in Chapter 2, applicants generally are less disadvantaged and more job-ready than recipients, as measured by their employment and earnings history as well as prior welfare dependency. This is further supported by the higher employment rates and earnings and lower welfare receipt among applicant as compared to recipient controls during the follow-up period.

As indicated in Table 8.3, SWIM resulted in statistically significant gains in employment and earnings and reductions in welfare receipt and payments among both AFDC applicants and recipients.

Among AFDC applicants, 52 percent of the experimentals were employed at some point during the three-quarter follow-up period as compared to 44.4 percent of the controls. This resulted in a statistically significant increase of 7.6 percentage points. Quarterly employment gains increased over the follow-up period. Applicant experimentals earned $1,882 during the full follow-up period as compared to the control group average earnings of $1,545, yielding a statistically significant earnings gain of $338. Earnings gains also increased after the second quarter.

Among AFDC recipients, 42.7 percent of experimentals and 31.5 percent of controls were employed at some point during the full follow-up period,

TABLE 8.3

SWIM

AFDC APPLICANTS AND RECIPIENTS: SHORT-TERM IMPACTS ON EMPLOYMENT, EARNINGS, WELFARE RECEIPT, AND WELFARE PAYMENTS

	AFDC Applicants[a]			AFDC Recipients[a]		
Outcome and Follow-Up Period	Experimentals	Controls	Difference	Experimentals	Controls	Difference
Ever Employed, Quarters 2-4 (%)	52.0	44.4	+7.6***	42.7	31.5	+11.2***
Average Number of Quarters with Employment, Quarters 2-4	1.07	0.94	+0.13**	0.91	0.65	+0.26***
Ever Employed (%)						
Quarter of Random Assignment	37.7	34.6	+3.0	21.6	19.1	+2.5*
Quarter 2	34.1	31.0	+3.1	28.5	20.8	+7.7***
Quarter 3	36.7	32.5	+4.2*	30.4	20.9	+9.5***
Quarter 4	36.5	30.5	+6.0**	31.5	22.8	+8.7***
Average Total Earnings, Quarters 2-4 ($)	1882.14	1544.63	+337.51*	1158.24	952.00	+206.25**
Average Total Earnings ($)						
Quarter of Random Assignment	458.10	423.99	+34.11	194.68	193.28	+1.40
Quarter 2	489.03	446.16	+42.87	293.02	270.33	+22.69
Quarter 3	655.54	537.96	+117.58*	395.98	297.72	+98.26***
Quarter 4	737.57	560.51	+177.06**	469.24	383.94	+85.30*
Ever Received Any AFDC Payments, Quarters 2-5 (%)	85.0	85.2	-0.2	94.9	96.2	-1.3
Average Number of Months Receiving AFDC Payments, Quarters 2-5	6.92	7.43	-0.51*	9.66	10.21	-0.55***
Ever Received Any AFDC Payments (%)						
Quarter of Random Assignment	81.3	82.7	-1.4	97.3	97.3	-0.1
Quarter 2	82.1	81.3	+0.9	94.4	95.4	-1.0
Quarter 3	65.0	69.7	-4.7*	87.8	89.2	-1.4
Quarter 4	56.1	61.5	-5.4**	79.8	85.5	-5.6***
Quarter 5	51.4	57.8	-6.4**	75.2	81.7	-6.6***
Average Total AFDC Payments Received, Quarters 2-5 ($)	3372.03	3723.32	-351.28**	5095.14	5542.81	-447.67***
Average AFDC Payments Received ($)						
Quarter of Random Assignment	712.10	702.15	+9.95	1501.24	1512.59	-11.35
Quarter 2	1049.22	1096.34	-47.12	1437.00	1485.45	-48.45**
Quarter 3	833.16	950.60	-117.44***	1302.15	1403.04	-100.89***
Quarter 4	764.71	869.55	-104.84**	1201.90	1347.59	-145.69***
Quarter 5	724.94	806.82	-81.88*	1154.09	1306.73	-152.64***
Sample Size	647	611	1258	959	994	1953

(continued)

TABLE 8.3 (continued)

SOURCE: MDRC calculations from the County of San Diego AFDC records and the State of California Unemployment Insurance earnings records.

NOTES: The sample for this table includes individuals who registered between July 1985 and June 1986.

These data include zero values for sample members not employed and for sample members not receiving welfare. These data are regression-adjusted using ordinary least squares, controlling for pre-random assignment characteristics of sample members. There may be some discrepancies in calculating sums and differences due to rounding.

For all measures, the quarter of random assignment refers to the calendar quarter in which random assignment occurred. Because Quarter 1, the quarter of random assignment, may contain some earnings and AFDC payments from the period prior to random assignment, it is excluded from the summary measures of follow-up.

A two-tailed t-test was applied to differences between experimental and control groups. Statistical significance levels are indicated as: * = 10 percent; ** = 5 percent; *** = 1 percent.

[a] Regressions were run on separate subsamples of applicants and recipients.

resulting in a statistically significant 11.2 percentage point increase. Recipient experimentals earned $1,158 as compared to $952 for controls during the follow-up period, a statistically significant gain of $206. Employment and earnings gains were observed throughout much of the follow-up period.

SWIM resulted in reductions in welfare receipt and payments during the follow-up period for AFDC applicants. By the fifth quarter, there was a 6.4 percentage point reduction in the proportion of experimentals receiving welfare, over the control group average of 57.8 percent. While applicant experimentals received $3,372 in welfare payments during the full four-quarter follow-up period, controls averaged $3,723 in payments. This resulted in welfare savings of $351. While grant reductions for applicants peaked in quarter 3, they were still present in the final quarter of follow-up.

Among AFDC recipients, SWIM also resulted in a lower proportion on welfare and lower welfare payments. In the fifth quarter, the proportion of experimental recipients receiving welfare was 75.2 percent, 6.6 percentage points lower than the control group average of 81.7 percent. Recipient experimentals received $5,095 in welfare payments during the full follow-up period as compared to $5,543 for controls, which represented a statistically significant welfare savings of $448. Reductions in grant payments increased throughout the follow-up period.

E. Longer-term Impacts

One important issue is the effect of the SWIM program on outcomes beyond the fourth or fifth quarter. Preliminary examination of longer-term findings is based on the employment and welfare behavior of registrants who entered the sample between July 1985 and December 1985. For these registrants, two additional quarters of follow-up are available.

One potential issue with using the early-enrolling sample is the extent to which it is representative of later enrollees and, hence, an indicator of longer-run impacts for the full sample. The early-enrollee sample had somewhat different characteristics from later enrollees. As indicated in Chapter 2, early enrollees were more likely to be applicants, and less likely to be renewed recipients.[3] Although the earlier sample appears to be less disadvantaged with respect to prior welfare dependency than the later one, these differences are not very large. And examination of the impacts for the first three quarters suggest that early and later enrollees have similar impacts, at least in the short-run. (See Appendix Table F.4.)

As indicated in Table 8.4, SWIM resulted in statistically significant employment and earnings gains for the early AFDC sample that were sustained during the additional quarters of follow-up. By the fifth and final quarter, the employment rate for experimentals was 8 percentage points greater than the control group employment rate of 26.8 percent, and the earnings gains were $149 greater than the control group average earnings of $510.

SWIM also resulted in reductions in the proportion of experimentals receiving welfare, accompanied by welfare savings, that continued through the six quarters of follow-up. By the final quarter of follow-up, the proportion of experimentals receiving welfare was 6.9 percentage points less than the control group rate of 62.3. Average welfare payments in this final quarter were $120 less than the control group average payment of

TABLE 8.4

SWIM

AFDC EARLIER COHORT: LONGER-TERM IMPACTS ON EMPLOYMENT, EARNINGS, WELFARE RECEIPT, AND WELFARE PAYMENTS

Outcome and Follow-Up Period	Experimentals	Controls	Difference
Ever Employed, Quarters 2-6 (%)	55.5	45.6	+9.9***
Average Number of Quarters with Employment, Quarters 2-6	1.73	1.37	+0.36***
Ever Employed (%)			
Quarter of Random Assignment	29.0	26.8	+2.2
Quarter 2	32.6	25.6	+7.0***
Quarter 3	33.9	27.1	+6.8***
Quarter 4	36.5	28.3	+8.2***
Quarter 5	35.2	28.7	+6.5***
Quarter 6	34.9	26.8	+8.0***
Average Total Earnings, Quarters 2-6 ($)	2806.15	2295.67	+510.48**
Average Total Earnings ($)			
Quarter of Random Assignment	315.99	301.93	+14.05
Quarter 2	392.50	350.02	+42.48
Quarter 3	496.05	417.12	+78.93*
Quarter 4	623.57	491.28	+132.29**
Quarter 5	634.53	526.97	+107.56*
Quarter 6	659.52	510.28	+149.23***
Ever Received Any AFDC Payments, Quarters 2-7 (%)	90.7	90.9	-0.2
Average Number of Months Receiving AFDC Payments, Quarters 2-7	11.59	12.54	-0.95***
Ever Received Any AFDC Payments (%)			
Quarter of Random Assignment	91.1	90.1	+1.0
Quarter 2	88.6	88.4	+0.1
Quarter 3	77.2	79.2	-2.1
Quarter 4	69.0	73.3	-4.3**
Quarter 5	63.5	70.6	-7.0***
Quarter 6	58.8	66.1	-7.3***
Quarter 7	55.4	62.3	-6.9***

(continued)

TABLE 8.4 (continued)

Outcome and Follow-Up Period	Experimentals	Controls	Difference
Average Total AFDC Payments Received, Quarters 2-7 ($)	5992.48	6637.17	-644.69***
Average AFDC Payments Received ($)			
Quarter of Random Assignment	1197.57	1169.10	+28.48
Quarter 2	1253.29	1298.42	-45.12*
Quarter 3	1072.21	1168.28	-96.07***
Quarter 4	988.82	1103.22	-114.40***
Quarter 5	944.28	1079.58	-135.30***
Quarter 6	890.80	1024.76	-133.96***
Quarter 7	843.07	962.91	-119.85***
Sample Size	870	888	1758

SOURCE: MDRC calculations from the County of San Diego AFDC records and the State of California Unemployment Insurance earnings records.

NOTES: The sample for this table includes individuals who registered between July and December, 1985.

These data include zero values for sample members not employed and for sample members not receiving welfare. These data are regression-adjusted using ordinary least squares, controlling for pre-random assignment characteristics of sample members. There may be some discrepancies in calculating sums and differences due to rounding.

For all measures, the quarter of random assignment refers to the calendar quarter in which random assignment occurred. Because Quarter 1, the quarter of random assignment, may contain some earnings and AFDC payments from the period prior to random assignment, it is excluded from the summary measures of follow-up.

A two-tailed t-test was applied to differences between experimental and control groups. Statistical significance levels are indicated as: * = 10 percent; ** = 5 percent; *** = 1 percent.

$963. These preliminary figures on longer-term impacts for a group of early-enrollees suggest that SWIM impacts for AFDC's are likely to extend beyond the follow-up period available for this report.

III. Impacts For the AFDC-U Registrants

This section of the report examines the same set of impacts for AFDC-U registrants as have just been discussed for the AFDC sample. It should be noted that the AFDC-U sample is smaller than the AFDC sample. Hence, it may be less likely that impacts of a similar magnitude will be statistically significant.

A. Employment and Earnings Impacts

SWIM resulted in statistically significant increases in employment among AFDC-U registrants. (See T-ble 8.5 and Figure 8.3.)[4] During the full three-quarter follow-up period, the proportion of experimentals who were employed at some point was 9.3 percentage points greater than the control group average employment rate of 44 percent. While SWIM resulted in statistically significant employment gains beginning in the third quarter, there was some decline in these impacts over time.

Gains in earnings were statistically significant during the follow-up period as a whole.[5] Earnings among experimentals were $337 greater than the control average of $2,028. While there were increased earnings for experimentals beginning in the second quarter, only in the third quarter were these impacts statistically significant.

B. Welfare Impacts

Although SWIM did not reduce the proportion of AFDC-U registrants receiving welfare, there were statistically significant reductions in

TABLE 8.5

SWIM

ALL AFDC-U: SHORT-TERM IMPACTS ON EMPLOYMENT, EARNINGS, WELFARE RECEIPT, AND WELFARE PAYMENTS

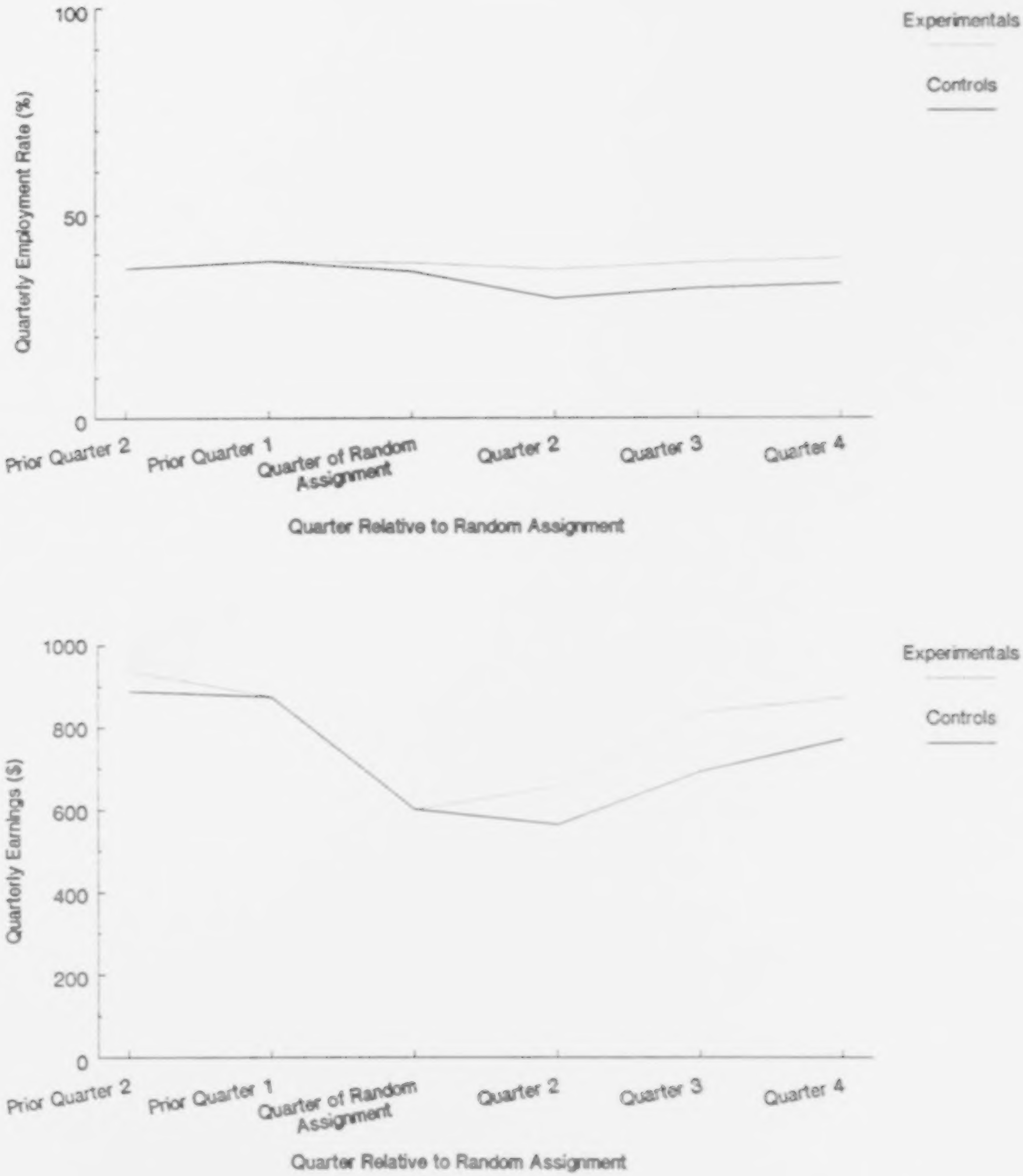
Outcome and Follow-Up Period	Experimentals	Controls	Difference
Ever Employed, Quarters 2-4 (%)	53.4	44.0	+9.3***
Average Number of Quarters with Employment, Quarters 2-4	1.13	0.94	+0.19***
Ever Employed (%)			
Quarter of Random Assignment	37.9	35.8	+2.1
Quarter 2	36.3	29.2	+7.1***
Quarter 3	37.9	31.7	+6.2**
Quarter 4	38.9	32.8	+6.0**
Average Total Earnings, Quarters 2-4 ($)	2364.77	2027.77	+337.01*
Average Total Earnings ($)			
Quarter of Random Assignment	600.73	601.44	-0.71
Quarter 2	656.56	564.15	+92.41
Quarter 3	837.00	692.33	+144.67*
Quarter 4	871.21	771.29	+99.93
Ever Received Any AFDC Payments, Quarters 2-5 (%)	86.2	86.4	-0.3
Average Number of Months Receiving AFDC Payments, Quarters 2-5	7.57	7.93	-0.37
Ever Received Any AFDC Payments (%)			
Quarter of Random Assignment	85.6	84.4	+1.2
Quarter 2	83.4	83.9	-0.5
Quarter 3	67.5	71.0	-3.5
Quarter 4	64.7	67.4	-2.7
Quarter 5	59.9	62.7	-2.8
Average Total AFDC Payments Received, Quarters 2-5 ($)	4873.97	5298.34	-424.37**
Average AFDC Payments Received ($)			
Quarter of Random Assignment	1263.87	1274.29	-10.42
Quarter 2	1418.75	1470.22	-51.48
Quarter 3	1191.54	1321.01	-129.47***
Quarter 4	1165.63	1279.25	-113.62**
Quarter 5	1098.05	1227.85	-129.80**
Sample Size	687	654	1341

SOURCE AND NOTES: See Table 8.1.

FIGURE 8.3

SWIM

AFDC-U: SHORT-TERM IMPACTS ON EMPLOYMENT AND EARNINGS



welfare payments over the follow-up period as a whole and beginning in quarter three. (See also Figure 8.4.) During the full four-quarter follow-up period, experimental AFDC-Us received $4,874 in welfare payments as compared to $5,298 for controls, yielding a statistically significant reduction of $424.

C. Other Impacts

Table 8.6 presents the distribution of earnings and income in quarter 4, the last quarter for which there are both earnings and welfare data. SWIM reduced the proportion of AFDC-U registrants with no earnings in this quarter. (See first panel of Table 8.6.) SWIM also reduced the proportion of AFDC registrants with only welfare income, but increased the proportion who combined earnings and welfare payments. (See second panel of Table 8.6.)

As indicated in the third panel of Table 8.6 and Appendix Table F.7, SWIM did not increase measured income. This suggests that, as for the AFDC group, SWIM's earnings gains were offset by welfare reductions for AFDC-U registrants, at least in the short-run.

D. Impacts among Applicants and Recipients

Table 8.7 presents impacts separately for AFDC-U applicants and recipients.[6] Approximately 60 percent of the AFDC-U's were applicants and 40 percent were recipients. Similar to AFDC registrants, applicants are generally more employable and less dependent than recipients. This can be seen from the higher levels of employment and earnings, and lower receipt of welfare and average welfare payments, among applicant controls than recipient controls.

SWIM resulted in statistically significant employment gains for both

FIGURE 8 . 4

SWIM

AFDC-U: SHORT-TERM IMPACTS ON AFDC RECEIPT AND PAYMENTS

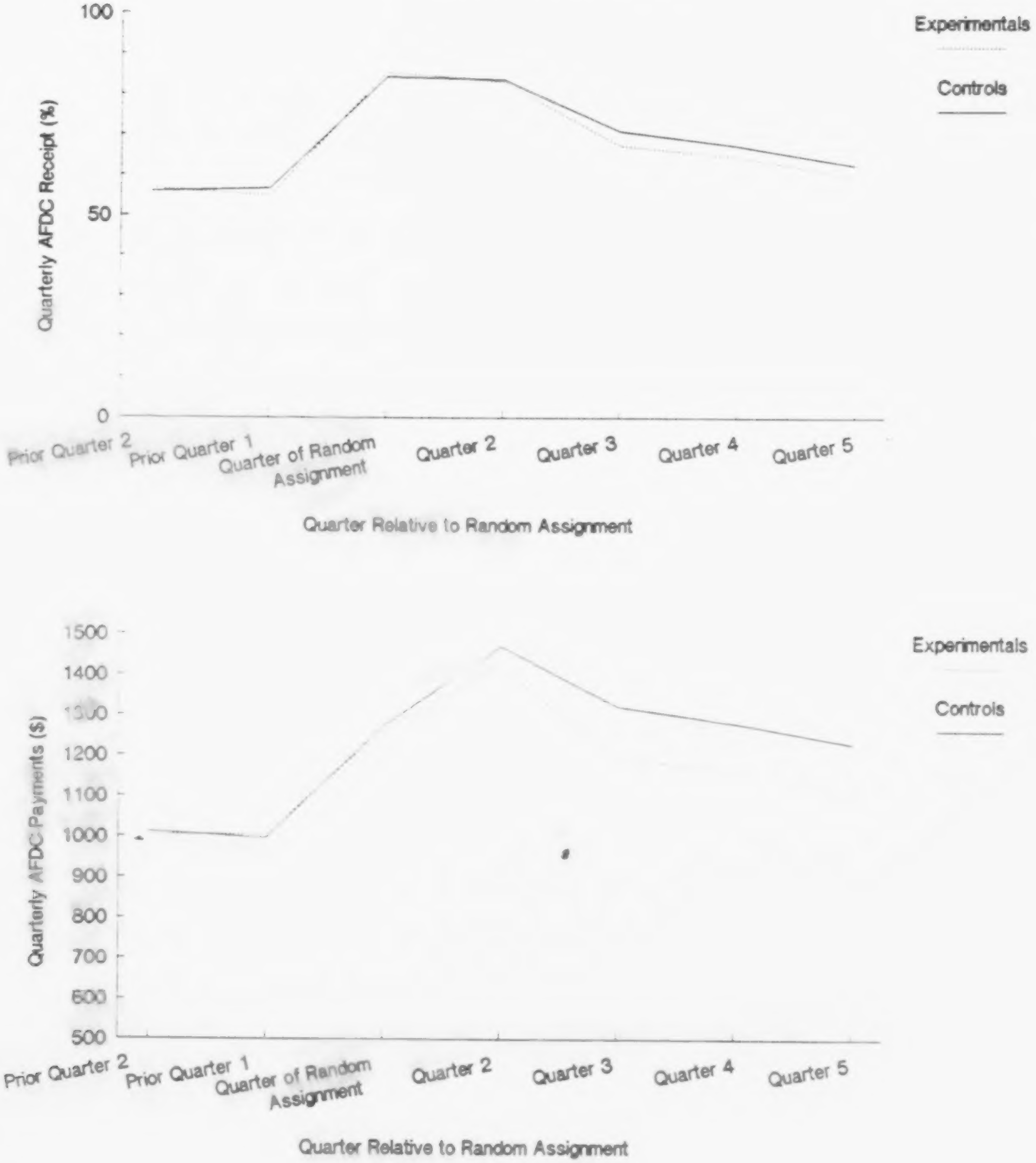


TABLE 8.6

SWIM

ALL AFDC-U: SHORT-TERM IMPACTS ON DISTRIBUTION OF EARNINGS, EARNINGS/WELFARE MIX, AND MEASURED INCOME IN QUARTER FOUR

Employment and Welfare Outcomes	Experimentals	Controls	Difference
Average Total Earnings, Quarter 4 (%)			
None	61.4	66.9	-5.5**
$1 - $1500	16.8	14.6	+2.2
More Than $1500	21.9	18.6	+3.3
Total	100.0	100.0	
Employment and Welfare Status, Quarter 4 (%)			
Had No Earnings, Received Some AFDC Payments	44.2	51.0	-6.7***
Had No Earnings, Received No AFDC Payments	17.2	15.9	+1.3
Had Some Earnings, Received Some AFDC Payments	20.5	16.4	+4.2**
Had Some Earnings, Received No AFDC Payments	18.0	16.7	+1.3
Total	100.0	100.0	
Average Measured Income, Quarter 4 (%)^{a}			
None	17.2	15.9	+1.3
$1 - $1500	18.5	16.3	+2.2
More Than $1500	64.4	67.9	-3.5
Total	100.0	100.0	
Average Measured Income ($)^{a}	2040.14	2047.08	-6.94
Sample Size	687	654	1341

SOURCE AND NOTES: See Table 8.2.

TABLE 8.7

SWIM

AFDC-U APPLICANTS AND RECIPIENTS: SHORT-TERM IMPACTS ON EMPLOYMENT, EARNINGS, WELFARE RECEIPT, AND WELFARE PAYMENTS

	AFDC-U Applicants[a]			AFDC-U Recipients[a]		
Outcome and Follow-Up Period	Experimentals	Controls	Difference	Experimentals	Controls	Difference
Ever Employed, Quarters 2-4 (%)	60.4	54.2	+6.2*	42.8	29.4	+13.4***
Average Number of Quarters with Employment, Quarters 2-4	1.30	1.14	+0.16*	0.87	0.64	+0.23**
Ever Employed (%)						
Quarter of Random Assignment	47.4	45.4	+2.0	23.8	22.1	+1.7
Quarter 2	41.3	36.9	+4.5	28.2	18.4	+9.8***
Quarter 3	44.5	38.9	+5.7*	27.9	21.5	+6.3*
Quarter 4	44.5	38.5	+5.9*	30.9	24.3	+6.6*
Average Total Earnings, Quarters 2-4 ($)	3072.36	2723.59	+348.77	1306.36	1026.92	+279.44
Average Total Earnings ($)						
Quarter of Random Assignment	821.75	867.53	-45.78	271.81	210.77	+61.04
Quarter 2	856.66	761.67	+95.00	352.73	285.05	+67.68
Quarter 3	1104.46	945.26	+159.20	433.17	334.02	+99.15
Quarter 4	1111.24	1016.66	+94.58	520.47	407.85	+112.62
Ever Received Any AFDC Payments, Quarters 2-5 (%)	81.4	81.6	-0.1	93.1	93.7	-0.6
Average Number of Months Receiving AFDC Payments, Quarters 2-5	6.35	6.55	-0.20	9.34	10.00	-0.66**
Ever Received Any AFDC Payments (%)						
Quarter of Random Assignment	78.1	75.7	+2.5	96.5	97.4	-0.9
Quarter 2	77.6	77.2	+0.4	91.6	93.7	-2.1
Quarter 3	57.8	58.8	-1.1	82.0	89.0	-7.0**
Quarter 4	54.2	56.0	-1.8	79.9	84.4	-4.6
Quarter 5	49.6	52.6	-3.1	74.9	77.7	-2.8
Average Total AFDC Payments Received, Quarters 2-5 ($)	3704.47	3977.33	-272.86	6609.05	7235.80	-626.75***
Average AFDC Payments Received ($)						
Quarter of Random Assignment	784.81	815.17	-30.35	1966.85	1948.34	+18.50
Quarter 2	1126.08	1150.75	-24.67	1851.68	1939.11	-87.43
Quarter 3	888.24	953.97	-65.73	1644.82	1858.01	-213.18***
Quarter 4	871.46	939.86	-68.40	1604.39	1775.10	-170.71**
Quarter 5	818.70	932.75	-114.06*	1508.16	1663.59	-155.43*
Sample Size	399	399	798	248	295	543

SOURCE AND NOTES: See Table 8.3.

AFDC-U applicants and recipients. Although there were earnings increases for both groups, they were not statistically significant, partly due to small sample sizes.

Among applicants, during the full follow-up period, 60.4 percent of experimentals were employed at some point as compared to 54.2 percent of the controls, a 6.2 percentage point increase. Statistically significant employment gains occurred during the last two quarters of follow-up as well.

For recipients, during the entire follow-up period, the employment gain was 13.4 percentage points more than the control group employment rate of 29.4 percent. These employment gains peaked in the second quarter at 9.8 percentage points, and then declined in quarters 3 and 4 to 6.3 and 6.6 percentage points, respectively.

While there were reductions in welfare receipt and payments for the AFDC-U applicants, they were not statistically significant partly due to small sample sizes. The only exception was a statistically significant welfare saving of $114 in the final quarter of follow-up.

SWIM resulted in experimentals spending fewer months on welfare among recipients. There were also reductions in the proportion of experimentals receiving welfare, but these were statistically significant only in the third quarter. Both during the entire follow-up period and beginning in the third quarter, there were also lower welfare payments for recipients.

E. Longer-Term Impacts

As with the AFDC analysis, two additional quarters of follow-up were available for an early-enrolling sample of AFDC-U registrants. As discussed in Chapter 2, there were differences between the early-enrolling and later-enrolling samples which makes estimates for the early group somewhat problematic as indicators of longer-term impacts for the whole AFDC-U sample. The percentage of females was greater in the earlier sample than the later one, and the average earnings of the earlier group were lower than those of the later one. These samples did not differ, however, in prior work history or welfare dependency.[7] Of particular concern are the differences in impacts between the earlier and later enrolling samples during the common short-term follow-up period. (See Appendix Table F.7.) For example, employment rate gains and welfare savings appear to be larger for the early-enrolling registrants as compared to the later-enrolling ones.

The impacts for the earlier sample, including two additional quarters of follow-up, are shown in Table 8.8. Employment impacts were statistically significant beginning in the second quarter and continued through the final quarter of follow-up. Earnings gains increased over time, but they were statistically significant only in the final two quarters of follow-up. This suggests that the employment and earnings impacts for the AFDC-U's may continue beyond the sixth quarter, at least for the early-enrolling sample.

There were statistically significant reductions in the proportion of experimentals receiving welfare in the two additional quarters of follow-up. Over the entire six-quarter follow-up period, the early sample received welfare for almost one month less than the control group. Beginning with the third quarter, there were sustained welfare savings for experimentals.

These preliminary findings provide evidence that impacts for AFDC-U registrants will extend beyond the short-term period, although differences

TABLE 8.8

SWIM

AFDC-U EARLIER COHORT: LONGER-TERM IMPACTS ON EMPLOYMENT, EARNINGS, WELFARE RECEIPT, AND WELFARE PAYMENTS

Outcome and Follow-Up Period	Experimentals	Controls	Difference
Ever Employed, Quarters 2-6 (%)	62.9	52.3	+10.5***
Average Number of Quarters with Employment, Quarters 2-6	2.01	1.59	+0.41***
Ever Employed (%)			
Quarter of Random Assignment	38.5	36.7	+1.8
Quarter 2	36.8	27.1	+9.7***
Quarter 3	38.6	31.9	+6.8**
Quarter 4	40.6	32.9	+7.6**
Quarter 5	41.2	33.1	+8.1**
Quarter 6	43.3	34.1	+9.2***
Average Total Earnings, Quarters 2-6 ($)	4275.58	3622.87	+652.71
Average Total Earnings ($)			
Quarter of Random Assignment	584.74	673.47	-88.73
Quarter 2	654.88	585.96	+68.92
Quarter 3	806.77	727.72	+79.04
Quarter 4	841.76	753.33	+88.43
Quarter 5	960.92	769.92	+191.00*
Quarter 6	1011.26	785.94	+225.32*
Ever Received Any AFDC Payments, Quarters 2-7 (%)	86.1	86.5	-0.3
Average Number of Months Receiving AFDC Payments, Quarters 2-7	10.36	11.31	-0.95**
Ever Received Any AFDC Payments (%)			
Quarter of Random Assignment	85.3	82.2	+3.2
Quarter 2	82.3	83.2	-0.9
Quarter 3	65.3	71.5	-6.2*
Quarter 4	63.4	68.2	-4.8
Quarter 5	59.9	63.7	-3.8
Quarter 6	52.0	59.7	-7.7**
Quarter 7	50.4	57.5	-7.1**

(continued)

TABLES 8.8 (continued)

Outcome and Follow-Up Period	Experimentals	Controls	Difference
Average Total AFDC Payments Received, Quarters 2-7 ($)	6621.93	7695.59	-1073.66***
Average AFDC Payments Received ($)			
Quarter of Random Assignment	1263.92	1252.19	+11.74
Quarter 2	1399.71	1468.90	-69.19
Quarter 3	1142.75	1328.52	-185.77***
Quarter 4	1124.01	1307.92	-183.91***
Quarter 5	1064.49	1246.38	-181.89**
Quarter 6	952.32	1192.56	-240.24***
Quarter 7	938.66	1151.32	-212.66***
Sample Size	375	348	723

SOURCE AND NOTES: See Table 8.4.

between the early and later samples necessitate particular caution in making this inference.

IV. Comparison of SWIM to Prior San Diego Demonstration

In the early 1980's, San Diego operated a program that involved a short-term participation requirement of job search assistance and work experience, referred to as EPP/EWEP. MDRC evaluated the effectiveness of this program on AFDC and AFDC-U applicants and found that for the AFDC applicants, there were employment and earnings gains as well as welfare savings. For the AFDC-U's, this program reduced welfare benefits but did not increase employment and earnings signficantly.[8] An important question is the extent to which a saturation program such as SWIM results in larger impacts than a more time-limited program such as EPP/EWEP. In making any direct comparison of the SWIM findings reported in this chapter to those presented in the final report of the earlier EPP/EWEP demonstration, several differences should be noted:

First, the SWIM program served both applicants and recipients while the EPP/EWEP program served only applicants. Second, SWIM operated in two of San Diego's seven local offices while EPP/EWEP operated in all seven offices.[9] Third, the research sample was followed from the point of application at the Income Maintenance offices for the earlier demonstration, while for SWIM the research start date was the point at which individuals showed up at the SWIM office; those who did not show up for program orientation for such reasons as being denied aid or finding employment are not included in the SWIM research sample, while they are in the EPP/EWEP sample. Fourth, the economy during the period of the SWIM program was better than during the earlier demonstration, which partly accounts for a less employable and more dependent group of AFDC-U's enrolling in SWIM as compared to EPP/EWEP.[10]

The first three differences listed above can be controlled for by comparing the short-term impacts of (1) the applicant subgroup in SWIM to (2) those who attended orientation in the two SWIM offices during EPP/EWEP. Other differences between the two demonstrations, as well as the short-term follow-up available for SWIM, do not allow these differences in the impacts for the two demonstrations to be confidently attributed to variations in the program model.

The two program models resulted in fairly similar employment and earnings gains and welfare savings for the AFDC applicants. For the AFDC-U applicants, a similar comparison suggests SWIM may have resulted in larger employment and possibly larger earnings gains than EPP/EWEP, although welfare savings are more similar.

Such comparisons, while based on experimental tests for each model separately, do not use an experimental design to isolate the differential impacts of the two models. It remains to be seen what effects longer-term follow-up, or more sophisticated statistical techniques, will have on such comparisons.

APPENDIX A

APPENDIX A

This appendix describes the County of San Diego's SWIM automated tracking system, how the data were used to produce the rates described in this report, and how quality control procedures were carried out to verify the accuracy of the data. Both county and MDRC staff invested substantial time to ensure that all data items necessary for the research were collected and data were of a high quality. Further, complicated programming was used to produce the rates in the report.

It is important to understand that the ease of calculating various participation measures is affected by several factors: the type of participation measures required, the program model, and program resources.

In a complex program such as SWIM, it is inevitable that there will be some data quality problems since complex "participant experiences" increase the likelihood of error. However, the quality checks performed by MDRC indicated that the data used in this report were of adequate quality to produce reliable results. In fact, given the complexity of SWIM's program model, it would have been difficult to further reduce the error rates reported here.

This appendix summarizes the methods used to turn the information in the SWIM automated tracking system into a data set, and reports the primary findings on the quality and completeness of this information. Some general considerations for management information systems designed to measure participation are also given.

I. Description of the Partipation Data Set Used in the Report

The county's SWIM automated tracking system provided most of the data used in the analyses in Chapters 5, 6 and 7. Data were entered into the system from individual data input documents (see Figure A.1), completed by CRU staff and supplemented by data from program activity logs. A registrant's "experience" in the program was defined by a) when they registered for the program, b) when they started participating, c) when they finished a component, and d) when they were deregistered. Consequently, these documents were designed to track activities by identifying actual start and end dates, as well as program status changes based on registration and deregistration dates.

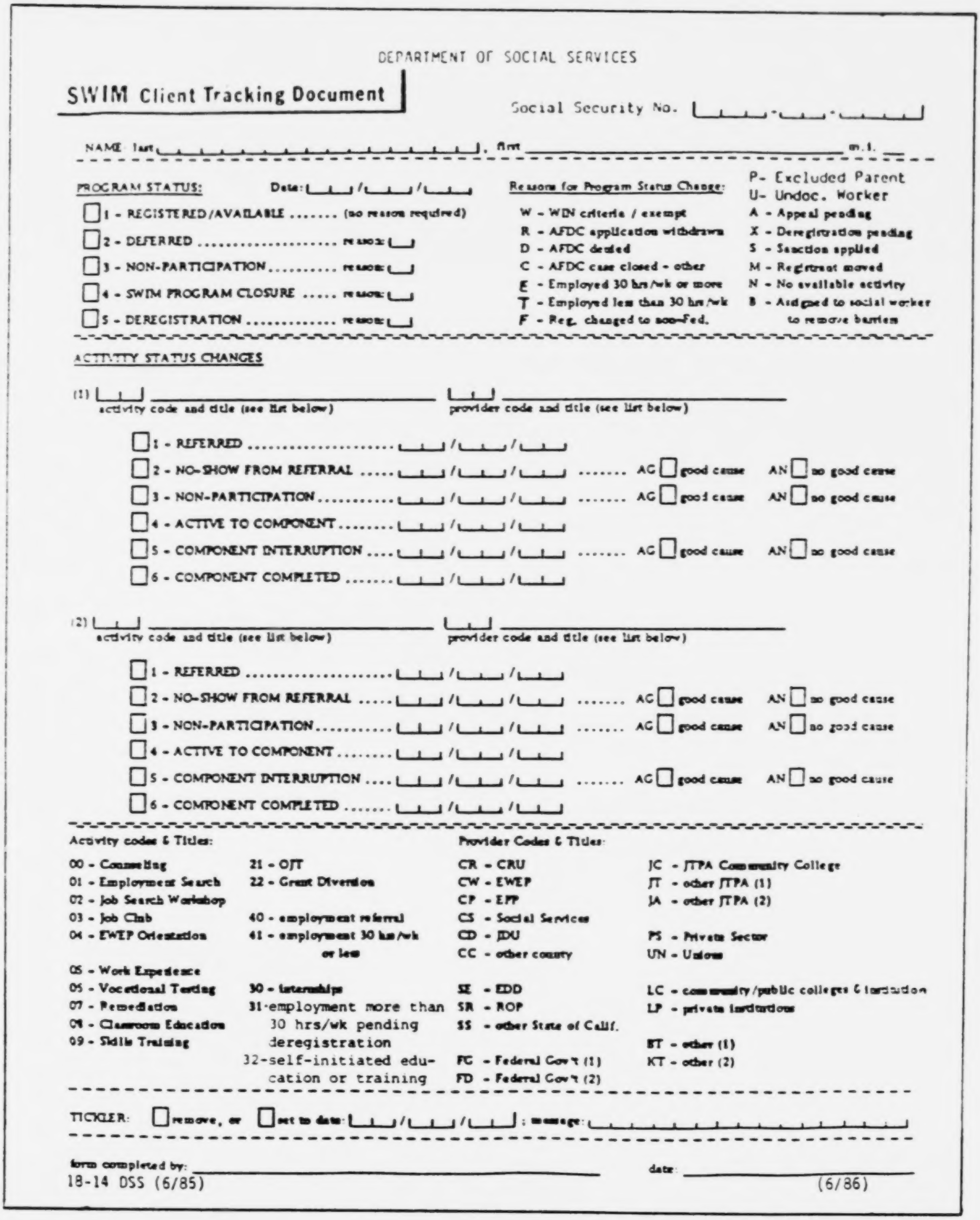
The top portion of the data input document tracked registrants' program status (that is, availability or readiness for program participation, registration, deregistration, deferrals, etc.). The remainder of the document tracked activity referrals and outcomes (i.e., referrals, no-shows, participation, component interruptions or completions). Cause determinations for failure to meet program requirements and activity provider codes were also tracked through the system. Every tracking form was completed with a date documenting when the status change or activity took effect.

The automated tracking system maintained SWIM-related activities for all the SWIM-eligibles; it was actually a record of dates with associated status or activity codes. Each time a staff verified or discovered that a registrant's program or activity status changed, a new tracking document would be completed and submitted to data entry. Note that staff were required to update a registrant's tracking record for changes in status or

FIGURE A.1

SWIM

SWIM CLIENT TRACKING DOCUMENT



DEPARTMENT OF SOCIAL SERVICES

SWIM Client Tracking Document

Social Security No. ____-___-____

NAME last ________________, first ________________ m.i. __

PROGRAM STATUS: Date: ___/___/___

☐ 1 - REGISTERED/AVAILABLE .... (no reason required)
☐ 2 - DEFERRED .... reason: ___
☐ 3 - NON-PARTICIPATION .... reason: ___
☐ 4 - SWIM PROGRAM CLOSURE ..... reason: ___
☐ 5 - DEREGISTRATION .... reason: ___

Reasons for Program Status Change:

W - WIN criteria / exempt
R - AFDC application withdrawn
D - AFDC denied
C - AFDC case closed - other
E - Employed 30 hrs/wk or more
T - Employed less than 30 hrs/wk
F - Reg. changed to non-Fed.

P- Excluded Parent
U- Undoc. Worker
A - Appeal pending
X - Deregistration pending
S - Sanction applied
M - Registrant moved
N - No available activity
B - Assigned to social worker to remove barriers

ACTIVITY STATUS CHANGES

(1) ___ ________________ ___ ________________
activity code and title (see list below) provider code and title (see list below)

☐ 1 - REFERRED .... ___/___/___
☐ 2 - NO-SHOW FROM REFERRAL ..... ___/___/___ .... AG ☐ good cause AN ☐ no good cause
☐ 3 - NON-PARTICIPATION .... ___/___/___ .... AG ☐ good cause AN ☐ no good cause
☐ 4 - ACTIVE TO COMPONENT .... ___/___/___
☐ 5 - COMPONENT INTERRUPTION .... ___/___/___ .... AG ☐ good cause AN ☐ no good cause
☐ 6 - COMPONENT COMPLETED .... ___/___/___

(2) ___ ________________ ___ ________________
activity code and title (see list below) provider code and title (see list below)

☐ 1 - REFERRED .... ___/___/___
☐ 2 - NO-SHOW FROM REFERRAL ..... ___/___/___ .... AG ☐ good cause AN ☐ no good cause
☐ 3 - NON-PARTICIPATION .... ___/___/___ .... AG ☐ good cause AN ☐ no good cause
☐ 4 - ACTIVE TO COMPONENT .... ___/___/___
☐ 5 - COMPONENT INTERRUPTION .... ___/___/___ .... AG ☐ good cause AN ☐ no good cause
☐ 6 - COMPONENT COMPLETED .... ___/___/___

Activity codes & Titles:

00 - Counseling
01 - Employment Search
02 - Job Search Workshop
03 - Job Club
04 - EWEP Orientation
05 - Work Experience
06 - Vocational Testing
07 - Remediation
08 - Classroom Education
09 - Skills Training

21 - OJT
22 - Grant Diversion
40 - employment referral
41 - employment 30 hrs/wk or less
30 - internships
31-employment more than 30 hrs/wk pending deregistration
32-self-initiated education or training

Provider Codes & Titles:

CR - CRU
CW - EWEP
CP - EPP
CS - Social Services
CD - JDU
CC - other county
SE - EDD
SR - ROP
SS - other State of Calif.
FG - Federal Gov't (1)
FD - Federal Gov't (2)

JC - JTPA Community College
JT - other JTPA (1)
JA - other JTPA (2)
PS - Private Sector
UN - Unions
LC - community/public colleges & institution
LP - private institutions
BT - other (1)
KT - other (2)

TICKLER: ☐ remove, or ☐ set to date: ___/___/___ ; message: ________________

form completed by: ________________ date: ________________

18-14 DSS (6/85) (6/86)

activity. However, some staff updated registants' records every 30 to 45 days, when they verified employment, training or education.

Two basic data sources were the minimum requirements for calculating monthly participation rates: an indication of those individuals who were registered as of a given point in time, and an indication of those registrants who were also participating (that is, start and end dates of all key components and statuses). These two sources required constant updating.

In order to calculate the various monthly participation measures discussed in this report, these start and end dates had to be converted into a somewhat different format. First, several sets of monthly calendars were established for each type of SWIM activity and program status. Then, variables were set up that indicated each registrant's status in terms of program eligibility and participation, as of each month in the demonstration.

For example, consider a sample member who registered on September 15, 1986, participated in a job search workshop from October 1, 1986 through October 15, 1986, found a job and was consequently deregistered on October 30, 1986. This sample member's "program status" calendar would be coded to reflect that she/he was registered in September and October, 1986, and not during any other months of the demonstration. The months prior to and following this period would be coded to reflect that this person was not registered. Similarly, the job search workshop and employment calendars would be coded to reflect participation in these activities in October 1986. All the remaining calendars (e.g. EWEP, self-initiated and program-referred training and education, etc.) would indicate no activity for those components.

These calendars were used to calculate monthly participation rates, by relying on the program status calendars to construct monthly denominators of people registered and by relying on the activity calendars to construct monthly numerators of people active in various components. Note that special codes in the program status calendars or in calculations using these calendars were required to accommodate various definitions of SWIM-eligibles (such as "registered as of the end of the month," or "registered throughout the month").

In order to do the participation analyses, about 800 data items were created from the raw data coded in the SWIM automated tracking system. About 1,200 additional items were created during the course of the analysis from this base (note this does not include outcome or demographic variables). The large size of the data set required the use of a mainframe computer for data manipulations and statistical calculations.

A great deal of county and MDRC staff time was spent monitoring the original tracking data. Assembling and verifying the final data set was time-intensive for MDRC staff as well. Calculations of consecutive monthly participation rates would either not have been possible without the County's automated tracking system or would have required considerably more staff to do case file reviews.

Three factors will influence localities' ability to calculate participation rates: resources available to create data systems or assign program staff to this effort, the type of participation statistics desired, and the complexity of the program model. If the program model is complicated, it will be quite time consuming for program staff to collect data on all program components for all registrants: Staff would have to be familiar with the various codes for all components in the model; and programming to calculate participation rates would require additional time and skill. Longitudinal measures are easier to calculate and maintain in an automated system because no end dates are needed (relieving some burden on staff); monthly participation measures require end dates and more sophisticated programming.

Periodic manual reviews of local office case files could be used to calculate monthly participation rates. For such an effort to succeed, however, there must be an accurate and systematic method of identifying registrants who were program-eligible in a month or quarter. Such a method would have to involve complicated decision rules which would have to be consistently maintained during very time consuming record reviews. Examples of decision rules that would have to be set up include: How are participants in more than one component coded? Are registrants with an activity start date three weeks prior to the review but no end date or ongoing verification code still considered participants? These decision rules are more difficult to implement manually than by using computer routines.

Even with an automated system, it was difficult for the participation analysis reported here to distinguish between those who participated two days out of a month and those who participated 15 days out of a month. Capturing this participation on a daily basis would be very difficult to do in the case file reviews as well as with an automated system.

The three factors that affect localities' ability to calculate participation rates also affect the likelihood of introducing error into the rates. The following section discusses the error rates found in the SWIM automated tracking system and steps that were taken to improve the quality of these data for the research. That discussion also shows how program models which require participation in a series of components require error rates lower than the rates shown in simpler program models in order to maximize overall reliability in monthly or ongoing participation measures.

II. Quality of the Tracking Data Used in the Analysis

Many estimates presented in this report were sensitive to the quality of the data obtained through the SWIM automated tracking system. Consequently, extensive checks were conducted to assess the accuracy and completeness of the system's data and alternative data sources were used where necessary.

Some data quality problems are inevitable in any management information system. The quality of the data collected for this study was similar to (if not better than) that used in other MDRC studies of state welfare initiatives. Thus, these are high quality program statistics. However, the checks show that certain statistics in the report are more accurate than others because the types of data used in the calculations had varying degrees of accuracy. Consequently, there are some important caveats for interpreting tables in the report. It is also important to note that the quality checks reported here probably overstate the degree of unreliability in the data used in this report. The quality check was conducted during August, 1986; since then, county staff spent considerable time increasing data acuracy.

MDRC's review of the SWIM automated tracking system was complicated and comprehensive due to the many activities (and varying sources of data) included in the SWIM evaluation. As stated above, it was critical for this report to have accurate program status as well as activity start and end dates. Depending on the component being checked, comparisons were made between the data in the tracking system and the information found in the registrant's case file or the individual component activity logs. Since staff did not always enter a separate activity end date into the system for active clients who deregistered, the quality of the deregistration data was particularly important because this date was used as a proxy for activity end dates in the analysis.

It is important to note that the SWIM tracking system input forms in the case files were not considered to be sufficient for verifying the dates in the system. All information was confirmed on the basis of quality checks that used supporting documentation independent of the system (e.g., case notes, transportation vouchers, documents from service providers, etc.). Several types of quality control checks were done. One compared system data to case file or log data. Another checked system data against other independent data sets, e.g., Unemployment Insurance, AFDC, etc.

Two specific data quality problems were investigated. One problem was the extent to which dates in the automated system were incorrect. The other was the extent to which dates that should have been in the system were missing from it. In calculating participation rates, both problems could overstate or understate participation. Four estimates of quality (where applicable) were made for each of the different components and program statuses:

1) Of the start dates in the system, the percentage that were

accurate, according to the case files.

2) Of the end dates in the system, the percentage that were accurate.

3) Of those start dates that should have been in the system (those that were in the system plus those that were identified in the case file), the percentage that were missing.

4) Of those end dates that should have been in the system, the percentage that were missing.

Data on most of the different types of components in the SWIM model were checked: job search workshops, EWEP, job clubs, program-referred and self-initiated education or training, and employment. In addition, data concerning program statuses (such as registrations and deregistrations) were checked. Table A.1 shows the error rates for various components as well as program statuses (the latter are mostly entry and exit dates for SWIM).

At least 90 percent of all program status data in the system were confirmed as accurate. In addition, very few program status changes were missing from the system: 1 percent of open entries (registrations, re-registrations, etc.) and 5 percent of closure entries (deregistrations, including sanctions, and closures due to registrants moving out of the SWIM area) were missing from the system.

Since participation data for the job search workshops and job clubs were keyed into the system directly from attendance logs, checks were not conducted concerning the extent to which data in the system were accurate. However, checks were done for missing data as shown in Table A.1.

There was some underreporting of start dates for the job search workshops: 16 percent were missing in the system. Underreporting of end dates was not as prevalent: only 11 percent of the job search workshops end dates

TABLE A.1

SWIM

SUMMARY STATISTICS FROM QUALITY CHECK OF DATA FOUND IN THE SWIM AUTOMATED TRACKING SYSTEM

Status or Activity Reviewed	Percent of Entries in System Confirmed as Accurate		Percent of Known Entries Missing from System	
Program Status				
Open Entries[a]	92	(93/101)	1	(1/102)
Closure Entries[b]	90	(38/42)	5	(2/44)
Job Search Workshop				
Start Dates	N/A		16	(15/94)
End Dates	N/A		11	(10/94)
EWEP				
Start Dates in System Within a Month of Initial Participation	N/A		26	(28/106)
Start Dates in System Any Time Before or After Initial Participation	N/A		22	(23/106)
End Dates for Individuals With Start Dates	N/A		4	(2/48)
Job Club				
Participation in a Particular Session	N/A		11	(4/36)
Education and Training				
Start Dates	76	(13/17)	N/A	
End Dates for Individuals With Start Dates	92	(12/13)	0	(0/13)
Employment				
Start Dates	100	(23/23)	15	(4/27)
End Dates	92	(11/12)	8	(1/13)

NOTES: Numbers in parentheses refer to the numbers used in the percent calculations.

N/A indicates not applicable. Data was keyed directly into the tracking system from attendance logs, so "false" participation was not expected. Therefore, quality checks were not completed.

[a] Open entries include registrations, re-registrations, deferrals and non-participation statuses.

[b] Closure entries include moving out of the SWIM area, deregistrations and sanctions.

were not entered into the system. To correct for these missing end dates, proxy end dates -- defined as 30 days from the workshop start date -- were created. Participation in job clubs was not entered into the system for 11 percent of the sessions attended.

The error rates found for EWEP information in the automated system were considered too high to produce accurate calculations. Consequently, EWEP attendance logs were used as the research data source for EWEP participation, instead of the automated tracking system data.

Only 76 percent of all the education and training start dates that were entered into the system were confirmed by information in the case files. This may suggest that up to one-quarter of participation in education and training reported in the system may have been "false," possibly causing over estimates of participation in this report. This is probably an overestimate of the error rate, however, since in some cases staff only used the SWIM automated tracking system to keep track of these activities, instead of adding supplemental documentation to the case files. This made comparisons of education and training in the SWIM tracking system to evidence of education and training in the case files difficult.

The length of education and training participation appeared to be accurate in the system. That is, it was not overreported due to missing or inaccurate end dates. Ninety-two percent of those with start dates had accurate end dates in the system.

All employment start dates that were entered in the system were verified as accurate through case file reviews. Additionally, all the employment codes entered in the system had corresponding end dates. These reviews indicated, however, that overall employment was underreported by 15 percent in the automated system when compared to the information in the case file. Although employment may be underreported (by 15 percent) in the tracking system, reliable end dates indicate that the length of employment was not overreported.

Fluctuation in the number of hours registrants worked may have accounted for some of the employment coding and entry errors. The quality control effort indicated, however, that this was not a large problem. For example, staff might have part-time employment in the tracking system for one month, then full-time employment the next month if the hours increased to 30 or more. However, staff may easily have forgotten to enter an end date for part-time employment as the employment itself was not new.

That the SWIM automated tracking system was of adequate quality to produce reliable and accurate statistics for analysis (once EWEP attendance log data was merged with it) is confirmed by comparing the error rates found in similar quality checks for two other MDRC work/welfare evaluations. In the California EPP/EWEP demonstration, case files confirmed 85 percent of the transactions reported in the EPP Information System (EPPIS). However, EPPIS was missing 8 percent of the job search workshop participation, 12 percent of the employment and 25 percent of the deregistration activity indicated in the case files. In the West Virginia demonstration, 100 percent of the WIS tracking transactions were confirmed in the case files for most types of transactions: work experience, individual job search, employment and deregistrations. In addition, the system was found to be missing only 3 percent of the work experience transactions, 7 percent of the employment transactions, and 3 percent of the deregistration transactions.

The SWIM model had more components for which tracking data were required than was the case in the other two demonstrations. The need to take into account several different program components could have compounded the individual component error rates for long term participants and introduced an overall error rate greater than the error rate of a single component. This is an issue that should be kept in mind when gathering data on programs with complicated models.

The following example, not typical of most participants, shows how the error rates of separate components can lead to a higher chance of a participant's experience being inaccurate. Some individuals might have gone through a job club, found part-time employment, and then participated in a job search workshop. Since there was an 11 percent chance of missing the participation in the job club and an 8 percent chance of missing an end date for employment, by the time a person got to the job search workshop after employment, there was an 18 percent chance that this person's "SWIM experience" was incorrectly documented: either incorrectly in employment or incorrectly still in the job club while employed [(0.08 + 0.11)-(0.08x0.11) or (0.08x0.89) + 0.11]. Note that this particular pattern is only relevant for those few individuals who went through the three most error-prone components before deregistering. In any given month, however, the error rate will be considerably lower than 18 percent because other components have lower error rates and registrants are at different points in their program tenure.

This example shows that the likelihood of peoples' tracking history being wrong was higher the more components they went through. The error rates in management information systems must be particularly low in order to accurately measure the many different aspects of a complicated program model (as is the case with SWIM). A less complicated program model would not require individual component error rates to be so low because the errors would not be compounded.

As a second type of check for accuracy, data from the SWIM automated tracking system was compared to the Unemployment Insurance earnings and AFDC payments records data.

The results of the Unemployment Insurance match indicated the extent to which the employment data in the tracking system were confirmed. (The extent to which employment data were missing from the tracking system could not be ascertained using the Unemployment Insurance system.)

For example, 28 percent of those AFDC's who were employed within 12 months according to the tracking system were not employed according to the Unemployment Insurance system. A similar rate was found for AFDC-U's. This is not surprising since much of this discrepancy may be because there are some jobs not covered by the UI system.

Registration data from the SWIM automated tracking system were compared against AFDC payment records as another test of data quality. This check showed that there were people who were registered with SWIM according to their tracking records, but who did not receive an AFDC payment in a given month. In August, 1986, for instance, 9 percent of those who were registered at least three weeks during the month (AFDC's and AFDC-U's combined) had no AFDC payments during that month. Since applicants denied AFDC, zero grants due to temporary high earnings or simple communication delays between the IM and SWIM offices can be expected to account for a discrepancy of this size, it confirms the high quality of the registration data.

III. Implications for Management Information Systems

Chapter 5 focused on longitudinal activity measures: the extent to which individuals ever participated in the program within 12 months. These measures relied only on activity start dates. The ongoing and monthly participation measures discussed in Chapters 6 and 7, however, required both activity start and end dates in order to accurately calculate participation.

If performance criteria are mandated, they may have less chance of error if they do not rely on both start and end dates, or on the separate calculation of different components. Longitudinal activity measures (such as Table 5.3) are more reliable than the monthly participation measures because they do not rely on end dates (such as those shown in Figure 7.2).

A program model that includes components that are difficult to monitor (such as employment, training or education) also introduces more room for error than a model that tracks only program-operated components.

As discussed in Chapters 5, 6 and 7, participation rates vary depending on the method of calculation (longitudinal versus monthly participation measures). These different methods of calculating participation as well as the program model may introduce different error rates and different burdens on program staff.

In summary, the SWIM demonstration effectively implemented a management information system for producing reliable participation measures in a complex program model, even though it was developed primarily for research purposes. Data sets on program activities will rarely be more reliable. Although SWIM's experience indicates that an adequate system to measure program activity rates can be developed, it also makes it clear that such an effort requires considerable planning and major resources.

APPENDIX B

TABLE B.1

SWIM

SELECTED CHARACTERISTICS OF REGISTRANTS AT THE TIME OF INITIAL REGISTRATION, BY ASSISTANCE CATEGORY AND RESEARCH GROUP

	AFDC		AFDC-U	
Characteristic	Experimental	Control	Experimental	Control
AFDC Status (%)				
Applicant	40.2	38.3	58.1	61.5
Renewed Recipient	33.5	32.3	23.7	22.5
Redetermined Recipient[a]	26.3	29.4*	18.2	16.0
Average Age (Years)	34.1	34.3	32.7	33.0
Sex (%)				
Male	8.8	8.6	92.0	90.5
Female	91.2	91.4	8.0	9.5
Ethnicity (%)				
White, Non-Hispanic	28.2	26.3	25.0	24.5
Black, Non-Hispanic	42.0	42.3	21.6	18.6
Hispanic	25.7	25.6	40.8	43.5
American Indian/Alaskan Native	0.4	0.7	0.1	0.7
Asian and Pacific Islander	2.9	4.6**	11.1	11.1
Other	0.7	0.4	1.4	1.6
Degree Received (%)				
High School Diploma	48.1	48.0	39.0	36.7
GED	8.1	7.5	6.8	9.2
None	43.8	44.5	54.2	54.0
Average Highest Grade Completed	10.9	10.9	10.2	10.0
Current Activities (%)				
Employed 20 Hours or Less Per Week	7.4	6.6	6.7	6.0
Employed 21-30 Hours Per Week	5.4	5.6	4.3	1.9**
Education or Training	14.3	14.8	9.7	9.5
Prior AFDC Dependency (%)				
Never on AFDC	11.9	10.9	34.5	33.7
1-11 Months	6.4	7.5	15.1	15.8
12-23 Months	7.0	6.7	10.9	10.2
24-35 Months	8.4	7.8	11.4	10.1
36-47 Months	8.4	8.3	8.2	7.5
48-59 Months	6.8	7.0	6.0	7.6
60 Months or More	51.1	51.8	13.9	15.1

(continued)

TABLE B.1 (continued)

Characteristic	AFDC		AFDC-U	
	Experimental	Control	Experimental	Control
Average Number of Months on AFDC During 24 Months Prior to Initial Registration	15.5	15.5	9.6	9.4
Held a Job at Any Time During Quarter Prior to Initial Registration (%)[b]	26.6	26.9	37.5	38.8
Held a Job at Any Time During Four Quarters Prior to Initial Registration (%)[b]	38.9	39.9	56.9	56.1
Average Earnings During Quarter Prior to Initial Registration ($)[b]	415.69	428.00	920.78	818.18
Average Earnings During Four Quarters Prior to Initial Registration ($)[b]	1650.31	1686.85	3782.15	3217.19*
Received Unemployment Compensation During Three Months Prior to Initial Registration (%)[b]	4.0	4.4	9.9	8.4
Average Amount of Unemployment Compensation During Three Months Prior to Initial Registration ($)[b]	30.10	33.99	67.83	69.80
Sample Size[c]	1608	1619	704	683

SOURCE: See Table 2.3.

NOTES: The sample for this table includes individuals who registered between July 1985 and June 1986.

Distributions may not add to 100.00 percent due to rounding.

A chi-square test or t-test was applied to differences between experimental and control groups within assistance categories. Statistical significance levels are indicated as: * = 10 percent; ** = 5 percent; *** = 1 percent.

[a] AFDC-U cases can be redetermined as WIN-mandatory when an AFDC case becomes an AFDC-U case or when a previously exempt AFDC-U case (e.g., medically exempt) loses its exemption status.

[b] These data are calculated from the State of California Unemployment Insurance earnings records and include zero values for sample members not employed and for those not receiving Unemployment Compensation.

[c] For selected characteristics, sample sizes may vary up to 5 sample points due to missing data. 62 of these registrants were excluded from the impact analysis because they did not have social security numbers.

TABLE B.2

SWIM

SELECTED CHARACTERISTICS OF REGISTRANTS AT THE TIME OF INITIAL REGISTRATION, BY ASSISTANCE CATEGORY AND PERIOD OF INITIAL REGISTRATION

Characteristic	AFDC		AFDC-U	
	Earlier Cohort	Later Cohort	Earlier Cohort	Later Cohort
AFDC Status (%)				
Applicant	42.8	35.0***	60.0	59.5
Renewed Recipient	29.2	37.3***	20.2	26.6***
Redetermined Recipient[a]	28.0	27.7	19.8	13.9***
Average Age (Years)	33.8	34.5**	32.5	33.1
Sex (%)				
Male	8.9	8.6	89.2	93.7***
Female	91.1	91.4	10.8	6.3***
Ethnicity (%)				
White, Non-Hispanic	27.3	27.1	25.0	24.4
Black, Non-Hispanic	42.1	42.3	20.6	19.5
Hispanic	26.0	25.2	42.6	41.6
American Indian/Alaskan Native	0.6	0.5	0.4	0.5
Asian and Pacific Islander	3.2	4.4	9.6	12.9*
Other	0.7	0.4	1.9	1.1
Degree Received (%)				
High School Diploma	48.7	47.3	37.0	38.9
GED	8.4	7.1	7.7	8.3
None	43.0	45.6	55.3	52.8
Average Highest Grade Completed	10.9	10.9	10.1	10.1
Current Activities (%)				
Employed 20 Hours or Less Per Week	7.6	6.2	6.5	6.1
Employed 21-30 Hours Per Week	5.7	5.2	3.5	2.7
Education or Training	12.8	16.7***	9.6	9.6
Prior AFDC Dependency (%)				
Never on AFDC	12.0	10.7	35.2	32.8
1-11 Months	7.5	6.2	16.2	14.5
12-23 Months	7.0	6.7	10.5	10.7
24-35 Months	8.3	7.8	10.4	11.2
36-47 Months	8.9	7.7	8.4	7.2
48-59 Months	7.2	6.6	6.3	7.4
60 Months or More	49.1	54.3***	13.0	16.2

(continued)

TABLE B.2 (continued)

Characteristic	AFDC		AFDC-U	
	Earlier Cohort	Later Cohort	Earlier Cohort	Later Cohort
Average Number of Months on AFDC During 24 Months Prior to Initial Registration	15.2	16.0**	9.4	9.7
Held a Job at Any Time During Quarter Prior to Initial Registration (%)[b]	27.9	25.4	36.4	40.1
Held a Job at Any Time During Four Quarters Prior to Initial Registration (%)[b]	39.4	39.4	54.2	59.2*
Average Earnings During Quarter Prior to Initial Registration ($)[b]	458.61	377.37**	830.29	917.92
Average Earnings During Four Quarters Prior to Initial Registration ($)[b]	1583.10	1771.87	3106.59	3977.22***
Received Unemployment Compensation During Three Months Prior to Initial Registration (%)[b]	4.4	3.9	8.3	10.2
Average Amount of Unemployment Compensation During Three Months Prior to Initial Registration ($)[b]	34.01	29.67	62.83	75.76
Sample Size[c]	1769	1458	752	635

SOURCE: See Table 2.3.

NOTES: The earlier cohort registered between July 1985 and December 1985 and the later cohort registered between January 1986 and June 1986.

Distributions may not add to 100.0 percent due to rounding.

A chi-square test or t-test was applied to differences between cohorts within assistance categories. Statistical significance levels are indicated as: * = 10 percent; ** = 5 percent; *** = 1 percent.

[a] AFDC-U cases can be redetermined as WIN-mandatory when an AFDC case becomes an AFDC-U case or when a previously exempt AFDC-U case (e.g., medically exempt) loses its exemption status.

[b] These data are calculated from the State of California Unemployment Insurance earnings records and include zero values for sample members not employed and for those not receiving Unemployment Compensation.

[c] For selected characteristics, sample sizes may vary up to 5 sample points due to missing data. 62 of these registrants were excluded from the impact analysis because they did not have social security numbers.

TABLE B.3

SELECTED CHARACTERISTICS OF SWIM-ELIGIBLES AT THE TIME OF INITIAL REGISTRATION, BY ASSISTANCE CATEGORY AND YEAR OF INITIAL REGISTRATION

Characteristic	AFDC		AFDC-U	
	July 1985-June 1986	July 1986-June 1987	July 1985-June 1986	July 1986-June 1987
AFDC Status (%)				
Applicant	40.2	58.2***	58.1	80.6***
Renewed Recipient	33.5	7.1***	23.7	7.1***
Redetermined Recipient[a]	26.3	34.7***	18.2	12.2**
Average Age (Years)	34.1	32.0***	32.7	31.4**
Sex (%)				
Male	8.8	11.0	92.0	92.9
Female	91.2	89.0	8.0	7.1
Ethnicity (%)				
White, Non-Hispanic	28.2	30.2	25.0	28.6
Black, Non-Hispanic	42.0	40.6	21.6	18.4
Hispanic	25.7	24.5	40.8	41.3
American Indian/Alaskan Native	0.4	0.7	0.1	0.3
Asian and Pacific Islander	2.9	2.9	11.1	10.5
Other	0.7	1.1	1.4	1.0
Degree Received (%)				
High School Diploma	48.1	50.5	39.0	41.6
GED	8.1	8.2	6.8	10.7**
None	43.8	41.3	54.2	47.7**
Average Highest Grade Completed	10.9	11.2**	10.2	10.4
Current Activities (%)				
Employed 20 Hours or Less Per Week	7.4	3.5***	6.7	6.9
Employed 21-30 Hours Per Week	5.4	4.0	4.3	1.5**
Education or Training	14.3	15.5	9.7	7.7
Prior AFDC Dependency (%)				
Never on AFDC	11.9	21.2***	34.5	54.3***
1-11 Months	6.4	11.2***	15.1	20.2**
12-23 Months	7.0	7.7	10.9	7.1*
24-35 Months	8.4	6.9	11.4	6.1***
36-47 Months	8.4	6.2*	8.2	4.1**
48-59 Months	6.8	6.6	6.0	1.3***
60 Months or More	51.1	40.2***	13.9	6.9***

(continued)

TABLE B.3 (continued)

Characteristic	AFDC		AFDC-U	
	July 1985-June 1986	July 1986-June 1987	July 1985-June 1986	July 1986-June 1987
Average Number of Months on AFDC During 24 Months Prior to Initial Registration	15.5	11.1***	9.6	3.9***
Held a Job at Any Time During Quarter Prior to Initial Registration (%)[b]	26.6	20.2***	37.5	34.4
Held a Job at Any Time During Four Quarters Prior to Initial Registration (%)[b]	38.9	29.6***	56.9	48.0***
Average Earnings During Quarter Prior to Initial Registration ($)[b]	415.69	325.06**	920.78	862.31
Average Earnings During Four Quarters Prior to Initial Registration ($)[b]	1650.31	1503.26	3782.15	4260.63
Received Unemployment Compensation During Three Months Prior to Initial Registration (%)[b]	4.0	4.6	9.9	14.4**
Average Amount of Unemployment Compensation During Three Months Prior to Initial Registration ($)[b]	30.10	36.30	67.83	145.38***
Sample Size[c]	1608	820	704	392

SOURCE: See Table 2.3.

NOTES: The sample for this table includes individuals who registered between July 1985 and June 1987.

Distributions may not add to 100.0 percent due to rounding.

A chi-square test or t-test was applied to differences between the July 1985 through June 1986 and the July 1986 through June 1987 registrant groups within assistance categories. Statistical significance levels are indicated as: * = 10 percent; ** = 5 percent; *** = 1 percent.

[a] AFDC-U cases can be redetermined as WIN-mandatory when an AFDC case becomes an AFDC-U case or when a previously exempt AFDC-U case (e.g., medically exempt) loses its exemption status.

[b] These data are calculated from the State of California Unemployment Insurance earnings records and include zero values for sample members not employed and for those not receiving Unemployment Compensation.

[c] For selected characteristics, sample sizes may vary up to 5 sample points due to missing data.

APPENDIX C

TABLE C.1

SWIM

TWELVE- AND EIGHTEEN-MONTH ACTIVITY MEASURES FOR SWIM-ELIGIBLES, BY ASSISTANCE CATEGORY

	12-Month Indicators		18-Month Indicators	
Activity Measures	AFDC	AFDC-U	AFDC	AFDC-U
Participated in Any Component, Including Employment While Registered[a]	78.0%	72.5%	79.2%	73.0%
Participated in Any Component, Excluding Employment While Registered	65.3	63.4	67.2	64.2
Participated in Job Search Activities	52.4	55.6	54.8	56.6
Participated in Work Experience	20.9	21.0	23.0	22.3
Participated in Education or Training	23.9	15.3	27.2	17.7
Employed While Registered[a]	40.4	33.0	42.9	36.4
Moved Out of the SWIM Area	8.1	8.8	8.9	9.6
Deregistered	63.6	67.3	72.5	75.6
Due to Sanction	9.8	7.3	10.6	8.1
Sample Size	874	385	874	385

SOURCE: MDRC calculations from the County of San Diego Department of Social Services SWIM Automated Tracking System and EWEP attendance logs.

NOTES: The sample for this table consists of individuals who registered between July and December 1985.

Activity measures are calculated as a percentage of the total number of persons in the indicated assistance category. Follow-up periods begin at the point of initial registration.

Participation is defined as attending EWEP for at least one hour or any other activity for at least one day.

Tests of statistical significance were not examined.

[a] Program employment information is based on employment that was reported to program staff. Program employment data were not used to measure impacts.

APPENDIX D

TABLE D.1

SWIM

PERCENTAGE DISTRIBUTION OF SWIM-ELIGIBLES, BY NUMBER OF MONTHS ACTIVE OUT OF MONTHS REGISTERED DURING THE TWELVE MONTHS FOLLOWING INITIAL REGISTRATION

Number of Months Active	Number of Months Registered												
	1	2	3	4	5	6	7	8	9	10	11	12	Total
0	84.3	63.2	48.3	32.3	21.2	20.8	15.9	13.9	10.0	9.0	6.6	9.5	24.4
1	15.7	16.6	17.2	14.9	12.5	12.1	8.3	8.5	5.0	4.1	1.1	3.6	8.8
2	-	20.3	19.3	15.4	13.3	15.3	10.3	11.6	9.8	13.3	5.7	3.0	9.7
3	-	-	15.2	19.1	14.3	18.0	11.0	9.9	7.4	8.5	3.8	2.9	7.5
4	-	-	-	18.2	17.9	6.9	12.1	7.2	7.2	6.7	4.9	3.3	5.7
5	-	-	-	-	20.7	13.1	16.3	11.0	11.4	9.0	7.4	6.2	6.9
6	-	-	-	-	-	13.9	7.8	9.3	15.7	8.7	12.8	6.1	5.3
7	-	-	-	-	-	-	18.3	16.7	8.5	11.8	15.0	9.0	6.4
8	-	-	-	-	-	-	-	11.8	14.4	8.7	8.7	9.7	5.5
9	-	-	-	-	-	-	-	-	10.5	14.4	13.1	8.8	4.8
10	-	-	-	-	-	-	-	-	-	5.9	10.9	9.4	4.1
11	-	-	-	-	-	-	-	-	-	-	10.1	12.9	5.2
12	-	-	-	-	-	-	-	-	-	-	-	15.6	5.8
Total	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0
Sample Size	93	213	214	149	167	119	104	110	106	90	85	860	2312

SOURCE: MDRC calculations from the County of San Diego Department of Social Services SWIM Automated Tracking System and EWEP attendance logs.

NOTES: The sample for this table includes individuals who registered between July 1985 and June 1986.

The sample is weighted to adjust for the higher proportion of AFDC's, relative to the proportion of AFDC-U's, in our sample.

The shaded area represents individuals who participated in at least 70 percent of their registered months.

(continued)

TABLE D.1 (continued)

Distributions may not add to 100.0 percent due to rounding.

Participation is defined as attending EWEP for at least one hour or any other activity for at least one day.

Registered during a month is defined as registered for at least one day during the month.

Tests of statistical significance were not examined.

TABLE D.2

SWIM

PERCENT OF NONCOMPLIANT SWIM-ELIGIBLES RECEIVING FOLLOW-UP CONTACT, BY METHOD OF FOLLOW-UP AND ASSISTANCE CATEGORY

Follow-Up Method	AFDC	AFDC-U	Total
Telephone Call	18.3%	21.5%	19.6%
Automatic Reschedule (by letter), No Direct Contact With Registrant	27.0	29.1	27.8
Reschedule (by letter), After Direct Contact with Registrant	37.4	45.6	40.7
Letter Sent to Set Up Meeting With Registrant	40.0	40.5	40.2
Meeting with Registrant in Office	20.0	27.9	23.2
Referral to Welfare Eligibility Technician	16.5	12.7	15.0
Home Visit	1.7	3.8	2.6
Registrant Initiated Contact	50.4	36.7	44.9
Staff-Registrant Contact Initiator Unknown	13.0	19.0	15.5
Sample Size	115	79	194

SOURCE: MDRC calculations from casefile reviews of randomly chosen SWIM-Eligibles who registered between January 1 and March 31, 1986.

NOTES: Distributions may not add to 100.0 percent because more than one method of follow-up may have been used for each individual.

Noncompliance is defined as failing to attend an assigned activity for the required number of days or failing to meet other program requirements. Other requirements include verifying education or training attendance and behaving in a cooperative manner while attending a program component.

Tests of statistical significance were not examined.

TABLE D.3

SWIM

PERCENTAGE DISTRIBUTION OF AFDC SWIM-ELIGIBLES, BY WELFARE, PROGRAM, EMPLOYMENT, AND PARTICIPATION STATUS BY THE TWELFTH MONTH FOLLOWING INITIAL REGISTRATION

Welfare, Program and Employment Status	Participants	Non-Participants	Total
All AFDC			
On Welfare			
Deregistered			
Employed	5.4	2.7	8.1
Not Employed	17.1	10.4	27.5
Registered			
Employed	6.4	2.1	8.5
Not Employed	16.5	2.6	19.1
Off Welfare (Deregistered)			
Employed	9.7	7.1	16.8
Not Employed	10.5	9.4	19.9
Total AFDC Sample	65.6	34.3	100.0
AFDC Applicants			
On Welfare			
Deregistered			
Employed	5.5	3.0	8.5
Not Employed	13.3	10.1	23.4
Registered			
Employed	4.3	2.1	6.4
Not Employed	8.7	1.8	10.5
Off Welfare (Deregistered)			
Employed	11.6	10.7	22.3
Not Employed	13.9	14.9	28.8
Total AFDC Applicants	57.3	42.6	100.0
AFDC Recipients			
On Welfare			
Deregistered			
Employed	5.4	2.5	7.9
Not Employed	19.7	10.5	30.2
Registered			
Employed	7.9	2.1	10.0
Not Employed	21.9	3.3	25.2
Off Welfare (Deregistered)			
Employed	8.4	4.6	13.0
Not Employed	8.1	5.5	13.6
Total AFDC Recipients	71.4	28.5	100.0
Sample Sizes: All AFDC	892	468	1360
Applicants	322	240	562
Recipients	570	228	798

(continued)

TABLE D.3 (continued)

SOURCE: MDRC calculations from the County of San Diego AFDC records, the State of California Unemployment Insurance earnings records, the County of San Diego Department of Social Services SWIM Automated Tracking System, and EWEP attendance logs.

NOTES: The sample for this table consists of SWIM-Eligibles who registered between July 1985 and April 1986.

All percentages were calculated as a proportion of the total number of SWIM-Eligibles, not as a proportion of the total number of Participants or Non-Participants.

Distributions may not sum to totals due to rounding.

Participation is defined as having attended EWEP for at least one hour, or any other activity for at least one day.

Unlike other tables, individuals who were off welfare by the twelfth month following initial registration were considered to be deregistered. In other tables, deregistration is defined as being deregistered according to the County of San Diego Department of Social Services SWIM Automated Tracking System.

Tests of statistical significance were not examined.

TABLE D.4

SWIM

PERCENTAGE DISTRIBUTION OF AFDC-U SWIM-ELIGIBLES, BY WELFARE, PROGRAM, EMPLOYMENT, AND PARTICIPATION STATUS BY THE TWELFTH MONTH FOLLOWING INITIAL REGISTRATION

Welfare, Program and Employment Status	Participants	Non-Participants	Total
All AFDC-U			
On Welfare			
Deregistered			
Employed	8.5	3.9	12.4
Not Employed	16.2	7.5	23.7
Registered			
Employed	3.8	0.5	4.3
Not Employed	13.0	3.2	16.2
Off Welfare (Deregistered)			
Employed	12.3	9.2	21.5
Not Employed	11.5	10.3	21.8
Total AFDC-U Sample	65.3	34.6	100.0
AFDC-U Applicants			
On Welfare			
Deregistered			
Employed	7.0	4.1	11.1
Not Employed	16.3	5.8	22.1
Registered			
Employed	3.5	0.3	3.8
Not Employed	7.6	1.5	9.1
Off Welfare (Deregistered)			
Employed	15.7	12.8	28.5
Not Employed	12.8	12.8	25.6
Total AFDC-U Applicants	62.9	37.3	100.0
AFDC-U Recipients			
On Welfare			
Deregistered			
Employed	10.8	3.7	14.5
Not Employed	16.2	10.0	26.2
Registered			
Employed	4.1	0.8	4.9
Not Employed	20.7	5.8	26.5
Off Welfare (Deregistered)			
Employed	7.5	4.1	11.6
Not Employed	9.5	6.6	16.1
Total AFDC-U Recipients	68.8	31.0	100.0
Sample Sizes: All AFDC-U	382	203	585
Applicants	216	128	344
Recipients	166	75	241

SOURCE and NOTES: See Table D.3.

APPENDIX E

TABLE E.1

SWIM

PERCENT OF INDIVIDUALS ELIGIBLE FOR SWIM IN JULY OR NOVEMBER 1986 WHO PARTICIPATED IN PROGRAM ACTIVITIES, BY TYPE OF ACTIVITY AND ASSISTANCE CATEGORY

	July 1986			November 1986		
Activity	AFDC	AFDC-U	Total	AFDC	AFDC-U	Total
Participated in Program-Arranged Activities	27.4%	29.1%	28.0%	21.3%	21.4%	21.3%
Work Experience[a]	4.3	5.1	4.6	5.8	4.7	5.4
Job Search Activities	17.1	20.1	18.1	9.6	11.6	10.3
Job Search Workshop	8.0	9.3	8.4	4.2	4.1	4.2
Job Club	7.2	8.6	7.6	4.0	5.0	4.3
ISESA	1.9	2.2	2.0	1.5	2.5	1.8
Program-Arranged Education or Training	6.0	4.0	5.3	5.9	5.1	5.6
Participated in Self-Initiated Education or Training[b]	7.4	7.5	7.4	12.2	10.2	11.5
Employed While Registered[c]	20.4	18.1	19.6	20.7	15.6	19.1
Sample Size	2114	1059	3173	2326	1142	3468

SOURCE: MDRC calculations from the County of San Diego Department of Social Services SWIM Automated Tracking System and EWEP attendance logs.

NOTES: The sample for this table includes individuals who were registered for SWIM in July or November 1986.

The sample is weighted to reflect the actual number of SWIM-Eligibles.

Participation is defined as attending EWEP for at least one hour or any other activity for at least one day.

Participants who were active in more than one activity were counted in the category with the highest priority. The priority order is: EWEP or OJT; job search workshop; job club; ISESA; program-arranged education or training; self-initiated education or training and union or other job search; employment while registered.

The total monthly participation rate may be obtained by adding the participation rates for program-arranged activities (which include the sum of work experience, job search activities and education or training); self-initiated education or training and union or other job search; and employment.

(continued)

TABLE E.1 (continued)

Tests of statistical significance were not examined.

[a] Work experience includes EWEP and On-the-Job Training.

[b] This category also includes a few individuals who participated in union and other types of self-initiated job search activities.

[c] Program employment information is based on employment that was reported to program staff. Program employment data were not used to measure impacts.

APPENDIX F

TABLE F.1

SWIM

AFDC: ESTIMATED REGRESSION COEFFICIENTS FOR EMPLOYMENT AND WELFARE MEASURES IN QUARTER FOUR

Variable	Variable Mean	Ever Employed (%)	Earnings ($)	Received AFDC (%)	AFDC Payments ($)
Experimental Group Member	.500	+0.078*** (0.015)	+118.12*** (40.16)	-0.055*** (0.014)	-128.27*** (24.43)
Office					
San Diego West	.501	---	---	---	---
Service Center	.499	+0.014 (0.015)	+25.20 (41.55)	+0.027* (0.015)	+43.11* (25.28)
Age Greater Than or Equal to 35	.459	-0.013 (0.016)	+54.54 (44.03)	-0.020 (0.016)	-94.02*** (26.79)
Female	.913	+0.068** (0.028)	+150.60** (76.61)	+0.060** (0.027)	+41.28 (46.62)
High School Diploma or GED	.561	+0.064*** (0.017)	+188.77*** (44.76)	-0.040** (0.016)	-97.13*** (27.23)
Marital Status					
Married	.334	----	---	---	---
Never Married	.301	+0.032 (0.021)	+87.92 (55.66)	+0.016 (0.020)	-65.57* (33.86)
Divorced/Widowed	.365	+0.047*** (0.018)	+159.38*** (49.28)	+0.005 (0.017)	-58.64* (29.98)
Family Status					
Any Children Less Than 6	.100	-0.009 (0.029)	+10.51 (78.04)	+0.088*** (0.028)	+271.71*** (47.48)
Any Children 6 to 18	.904	-0.019 (0.032)	+105.79 (87.64)	+0.014 (0.031)	+73.98 (53.33)
Race/Ethnicity					
White, Non-Hispanic	.322	---	---	---	---
Black, Non-Hispanic	.424	-0.034* (0.018)	-65.91 (49.59)	+0.047*** (0.018)	+115.67*** (30.17)
Hispanic	.254	-0.010 (0.021)	-32.15 (57.20)	+0.031 (0.020)	+86.67** (34.80)

(continued)

TABLE F.1 (continued)

Variable	Variable Mean	Ever Employed (%)	Earnings ($)	Received AFDC (%)	AFDC Payments ($)
AFDC Status					
Recipient	.608	---	---	---	---
Applicant	.392	-0.054*** (0.020)	-67.79 (55.11)	-0.005 (0.020)	+37.98 (33.53)
Prior AFDC History					
Received AFDC in 18 Months Prior to Random Assignment					
No Months	.227	---	---	---	---
1 to 17 Months	.301	-0.025 (0.027)	-94.15 (73.53)	+0.151*** (0.026)	-123.93*** (44.74)
All 18 Months	.472	-0.011 (0.040)	-112.16 (107.65)	+0.202*** (0.038)	-321.72*** (65.50)
On AFDC for at Least 5 Years	.517	-0.034* (0.017)	-182.19*** (46.69)	+0.061*** (0.017)	+85.92*** (28.41)
Average AFDC Payments in 18 Months Prior to Random Assignment (in Thousands)	5.82	-0.004 (0.004)	-8.15 (9.72)	+0.017*** (0.003)	+107.80*** (5.92)
Prior Employment History					
Ever Employed in the Quarter Prior to Random Assignment	.268	+0.229*** (0.027)	+282.55*** (73.38)	-0.022 (0.026)	-88.37** (44.65)
Ever Employed in the Year Prior to Random Assignment	.394	+0.079*** (0.024)	+138.25** (64.61)	-0.028 (0.023)	-76.98* (39.31)
Earnings Greater than $3000 in the Year Prior to Random Assignment	.182	+0.116*** (0.026)	+487.25*** (70.16)	+0.026 (0.025)	+23.15 (42.69)
Unadjusted R^2		0.159	0.112	0.173	0.283
Constant		0.128	12.42	0.410	626.45
Dependent Variable Mean		0.296	514.25	0.733	1095.68
Sample Size		3211	3211	3211	3211

(continued)

TABLE F.1 (continued)

SOURCE: MDRC calculations from the County of San Diego AFDC records and the State of California Unemployment Insurance earnings records.

NOTES: The sample for this table includes individuals who registered between July 1985 and June 1986.

Coefficients are estimated by ordinary least squares. Numbers in parentheses are estimated standard errors.

"Employed" and "Received AFDC" are dichotomous dummy variables. "Earnings" and "AFDC Payments" are dollar variables and include cases with zero values for those not employed and for those not receiving welfare.

A two-tailed t-test was applied to each coefficient. Statistical significance levels are indicated as: * = 10 percent; ** = 5 percent; *** = 1 percent.

TABLE F.2

SWIM

AFDC: EARNINGS AMONG EMPLOYED EXPERIMENTALS AND CONTROLS

	Experimentals	Controls	Difference
Average Total Earnings, If Ever Employed Quarters 2-4 ($)	3107.43	3257.22	-149.79
Average Total Earnings, If Ever Employed ($)			
Quarter of Random Assignment	1064.40	1135.16	-70.75
Quarter 2	1203.53	1376.45	-172.92
Quarter 3	1512.24	1550.22	-37.98
Quarter 4	1711.02	1771.63	-60.61
Total Number of Employed Experimentals and Controls, Quarters 2-4	745	584	
Number of Employed Experimentals and Controls			
Quarter of Random Assignment	448	403	
Quarter 2	495	394	
Quarter 3	529	406	
Quarter 4	538	412	

SOURCE: MDRC calculations from the County of San Diego AFDC records and the State of California Unemployment Insurance earnings records.

NOTES: The sample for this table includes individuals who registered between July 1985 and June 1986.

These data are calculated from the regression-adjusted numbers in Table 8.1 where the average earnings for a particular time period are divided by the employment rate for the same period. This is a non-experimental comparison since the characteristics of employed experimentals differ from those of employed controls.

For all measures, the quarter of random assignment refers to the calendar quarter in which random assignment occurred. Because Quarter 1, the quarter of random assignment, may contain some earnings and AFDC payments from the period prior to random assignment, it is excluded from the summary measures of follow-up.

TABLE F.3

SWIM

AFDC: SHORT-TERM IMPACTS ON MEASURED INCOME

Outcome and Follow-Up Period	Experimentals	Controls	Difference
Total Average Measured Income, Quarters 2-4 ($)[a]	4879.18	4901.77	-22.59
Average Measured Income ($)[a]			
Quarter of Random Assignment	1489.94	1479.36	+10.59
Quarter 2	1657.17	1670.18	-13.01
Quarter 3	1617.15	1616.59	+0.56
Quarter 4	1604.86	1615.00	-10.15
Sample Size	1606	1605	3211

SOURCE: MDRC calculations from the County of San Diego AFDC records and the State of California Unemployment Insurance earnings records.

NOTES: The sample for this table includes individuals who entered the program between July 1985 and June 1986.

These data include zero values for sample members not employed and for sample members not receiving welfare. These data are regression-adjusted using ordinary least squares, controlling for pre-random assignment characteristics of sample members. There may be some discrepancies in calculating sums and differences due to rounding.

For all measures, the quarter of random assignment refers to the calendar quarter in which random assignment occurred. Because Quarter 1, the quarter of random assignment, may contain some earnings and AFDC payments from the period prior to random assignment, it is excluded from the summary measures of follow-up.

A two-tailed t-test was applied to differences between experimental and control groups. Statistical significance levels are indicated as: * = 10 percent; ** = 5 percent; *** = 1 percent.

[a] Average measured income is defined as personal earnings plus welfare payments received during a quarter.

TABLE F.4

SWIM

AFDC EARLIER AND LATER COHORTS: SHORT-TERM IMPACTS ON EMPLOYMENT, EARNINGS, WELFARE RECEIPT, AND WELFARE PAYMENTS

	AFDC Earlier Cohort			AFDC Later Cohort		
Outcome and Follow-Up Period	Experimentals	Controls	Difference	Experimentals	Controls	Difference
Ever Employed, Quarters 2-4 (%)	48.7	39.2	+9.5***	43.6	32.9	+10.8***
Average Number of Quarters with Employment, Quarters 2-4	1.03	0.81	+0.22***	0.91	0.69	+0.22***
Ever Employed (%)						
Quarter of Random Assignment	29.0	26.8	+2.2	26.5	23.1	+3.4*
Quarter 2	32.6	25.6	+7.0***	28.8	23.3	+5.5***
Quarter 3	33.9	27.1	+6.8***	31.8	23.1	+8.7***
Quarter 4	36.5	28.3	+8.2***	30.1	22.6	+7.5***
Average Total Earnings, Quarters 2-4 ($)	1512.11	1258.42	+253.70**	1362.92	1092.38	+270.54*
Average Total Earnings ($)						
Quarter of Random Assignment	315.99	301.93	+14.05	276.32	262.09	+14.23
Quarter 2	392.50	350.02	+42.48	347.21	322.11	+25.10
Quarter 3	496.05	417.12	+78.93*	500.30	360.91	+139.39**
Quarter 4	623.57	491.28	+132.29**	515.41	409.36	+106.05*
Ever Received Any AFDC Payments, Quarters 2-5 (%)	90.3	90.7	-0.4	92.1	93.5	-1.3
Average Number of Months Receiving AFDC Payments, Quarters 2-5	8.35	8.87	-0.52**	8.88	9.42	-0.55***
Ever Received Any AFDC Payments (%)						
Quarter of Random Assignment	91.1	90.1	+1.0	91.3	92.9	-1.7
Quarter 2	88.6	88.4	+0.1	90.9	91.5	-0.6
Quarter 3	77.2	79.2	-2.1	81.0	84.4	-3.5*
Quarter 4	69.0	73.3	-4.3**	72.3	79.3	-7.0***
Quarter 5	63.5	70.6	-7.0***	68.7	74.6	-5.9***
Average Total AFDC Payments Received, Quarters 2-5 ($)	4258.61	4649.50	-390.89***	4620.67	5044.05	-423.38***
Average AFDC Payments Received ($)						
Quarter of Random Assignment	1197.57	1169.10	+28.48	1189.36	1223.72	-34.36
Quarter 2	1253.29	1298.42	-45.12*	1325.39	1372.87	-47.48*
Quarter 3	1072.21	1168.28	-96.07***	1175.19	1293.85	-118.66***
Quarter 4	988.82	1103.22	-114.40***	1082.63	1228.70	-146.07***
Quarter 5	944.28	1079.58	-135.30***	1037.46	1148.63	-111.17***
Sample Size	870	888	1758	732	721	1453

(continued)

TABLE F.4 (continued)

SOURCE: MDRC calculations from the County of San Diego AFDC records and the State of California Unemployment Insurance earnings records.

NOTES: The earlier cohort registered between July 1985 and December 1985 and the later cohort registered between January 1986 and June 1986.

These data include zero values for sample members not employed and for sample members not receiving welfare. These data are regression-adjusted using ordinary least squares, controlling for pre-random assignment characteristics of sample members. There may be some discrepancies in calculating sums and differences due to rounding.

For all measures, the quarter of random assignment refers to the calendar quarter in which random assignment occurred. Because Quarter 1, the quarter of random assignment, may contain some earnings and AFDC payments from the period prior to random assignment, it is excluded from the summary measures of follow-up.

A two-tailed t-test was applied to differences between experimental and control groups. Statistical significance levels are indicated as: * = 10 percent; ** = 5 percent; *** = 1 percent.

TABLE F.5

SWIM

AFDC-U: ESTIMATED REGRESSION COEFFICIENTS FOR EMPLOYMENT AND WELFARE MEASURES IN QUARTER FOUR

Variable	Variable Mean	Ever Employed (%)	Earnings ($)	Received AFDC (%)	AFDC Payments ($)
Experimental Group Member	.512	+0.060** (0.025)	+99.93 (82.86)	-0.027 (0.024)	-113.62** (49.55)
Office					
San Diego West	.493	---	---	---	---
Service Center	.507	+0.002 (0.027)	+175.15** (88.67)	-0.035 (0.026)	-42.33 (53.13)
Age Greater Than or Equal to 35	.397	-0.046 (0.029)	-252.22*** (96.65)	-0.009 (0.028)	-0.86 (57.90)
Female	.090	-0.019 (0.044)	-10.85 (147.42)	-0.016 (0.042)	-99.10 (88.16)
High School Diploma or GED	.470	+0.058** (0.028)	+117.14 (92.13)	+0.013 (0.026)	-51.38 (55.07)
Marital Status					
Never Married; Divorced; Widowed; Married, not Living with Spouse	.147	----	----	----	----
Married, Living with Spouse	.853	+0.044 (0.036)	+130.38 (121.25)	-0.053 (0.035)	-59.97 (72.65)
Family Status					
Any Children Less Than 6	.715	+0.012 (0.032)	+147.58 (106.47)	-0.037 (0.031)	+150.67** (63.55)
Any Children 6 to 18	.585	+0.005 (0.031)	+168.14 (103.07)	-0.048 (0.030)	+68.33 (61.43)
Race/Ethnicity					
White, Non-Hispanic	.389	---	---	---	---
Black, Non-Hispanic	.208	+0.047 (0.035)	-37.34 (116.42)	+0.054 (0.034)	+119.63* (69.77)
Hispanic	.403	+0.044 (0.031)	+50.64 (103.99)	+0.071** (0.030)	+15.65 (62.29)

(continued)

TABLE F.5 (continued)

Variable	Variable Mean	Ever Employed (%)	Earnings ($)	Received AFDC (%)	AFDC Payments ($)
AFDC Status					
Recipient	.405	---	---	---	---
Applicant	.595	-0.043 (0.035)	+1.55 (115.45)	-0.039 (0.033)	-119.77* (68.98)
Prior AFDC History					
Received AFDC in 18 Month Prior to Random Assignment					
No Months	.336	---	---	---	---
1 to 17 Months	.341	-0.045 (0.040)	-215.87 (132.77)	+0.183*** (0.038)	+46.89 (78.91)
All 18 Months	.323	+0.000 (0.069)	-179.19 (230.87)	+0.196*** (0.066)	-140.49 (138.08)
On AFDC for at Least 5 Years	.148	-0.018 (0.039)	-101.15 (130.66)	+0.051 (0.038)	+179.77** (78.31)
Average AFDC Payments in 18 Months Prior to Random Assignment (in Thousands)	5.50	-0.008 (0.005)	-0.01 (0.02)	+0.018*** (0.005)	90.38*** (10.80)
Prior Employment History					
Ever Employed in the Quarter Prior to Random Assignment	.382	+0.125*** (0.037)	-90.07 (143.22)	-0.088** (0.035)	-71.60 (73.50)
Ever Employed in the Year Prior to Random Assignment	.565	+0.080** (0.038)	+42.90 (129.42)	+0.034 (0.036)	-50.16 (74.72)
Earnings Greater than $3,000 in the Year Prior to Random Assigment	.327	+0.131*** (0.036)	-257.16* (149.73)	+0.012 (0.035)	-50.69 (71.78)
Average Earnings in Year Prior to Random Assignment	3590.19	---	+0.02 (0.02)	---	---
Average Earnings in Quarter Prior to Random Assignment	874.34	---	+0.24*** (0.05)	---	---
Average Earnings in Fourth Quarter Prior to Random Assignment	843.03	---	+0.20*** (0.05)	---	---

(continued)

TABLE F.5 (continued)

Variable	Variable Mean	Ever Employed (%)	Earnings ($)	Received AFDC (%)	AFDC Payments ($)
Unadjusted R^2		0.126	.198	0.179	0.282
Constant		0.197	244.87	0.555	856.01
Dependent Variable Mean		0.359	822.45	0.660	1221.08
Sample Size		1341	1341	1341	1341

SOURCE: See Table F.1.

NOTES: The sample for this table includes individuals who registered between July 1985 and June 1986.

Coefficients are estimated by ordinary least squares. Numbers in parentheses are estimated standard errors.

"Employed" and "Received AFDC" are dichotomous dummy variables. "Earnings" and "AFDC Payments" are dollar variables and include cases with zero values for those not employed and for those not receiving welfare.

The regression equations for earnings include three additional indicators of prior earnings. A different model was used for earnings because the difference between experimentals and controls in prior earnings was statistically significant, prior earnings are highly correlated with future earnings, and consequently, earnings impacts are affected. On the other hand, prior earnings were not included in the models for employment and welfare outcomes because prior earnings are less related to these outcomes and the impacts are not affected in a meaningful manner.

A two-tailed t-test was applied to each coefficient. Statistical significance levels are indicated as: * = 10 percent; ** = 5 percent; *** = 1 percent.

TABLE F.6

SWIM

AFDC-U: SHORT-TERM IMPACTS ON MEASURED INCOME

Outcome and Follow-Up Period	Experimentals	Controls	Difference
Total Average Measured Income, Quarters 2-4 ($)[a]	6146.66	6092.00	+54.66
Average Measured Income ($)[a]			
Quarter of Random Assignment	1864.88	1875.43	-10.56
Quarter 2	2077.92	2031.63	+46.29
Quarter 3	2028.60	2013.29	+15.32
Quarter 4	2040.14	2047.08	-6.94
Sample Size	687	654	1341

SOURCE AND NOTES: See Table F.3.

TABLE F.7

SWIM

AFDC-U EARLIER AND LATER COHORTS: SHORT-TERM IMPACTS ON EMPLOYMENT, EARNINGS, WELFARE RECEIPT, AND WELFARE PAYMENTS

Outcome and Follow-Up Period	AFDC-U Earlier Cohort			AFDC-U Later Cohort		
	Experimentals	Controls	Difference	Experimentals	Controls	Difference
Ever Employed, Quarters 2-4 (%)	53.4	44.0	+9.3***	53.9	43.8	+10.0***
Average Number of Quarters with Employment, Quarters 2-4	1.16	0.92	+0.24***	1.09	0.96	+0.13
Ever Employed (%)						
Quarter of Random Assignment	38.5	36.7	+1.8	37.2	34.9	+2.3
Quarter 2	36.8	27.1	+9.7***	35.8	31.6	+4.2
Quarter 3	38.6	31.9	+6.8**	36.8	31.8	+5.0
Quarter 4	40.6	32.9	+7.6**	36.7	32.8	+3.9
Average Total Earnings, Quarters 2-4 ($)	2303.41	2067.01	+236.40	2411.13	2010.32	+400.81
Average Total Earnings ($)						
Quarter of Random Assignment	584.74	673.47	-88.73	626.96	512.39	+114.57
Quarter 2	654.88	585.96	+68.92	649.01	548.90	+100.10
Quarter 3	806.77	727.72	+79.04	862.36	662.96	+199.40
Quarter 4	841.76	753.33	+88.43	899.76	798.46	+101.31
Ever Received Any AFDC Payments, Quarters 2-5 (%)	85.3	85.3	+0.0	86.9	87.9	-1.0
Average Number of Months Receiving AFDC Payments, Quarters 2-5	7.44	7.99	-0.55*	7.68	7.90	-0.22
Ever Received Any AFDC Payments (%)						
Quarter of Random Assignment	85.3	82.2	+3.2	86.1	86.7	-0.6
Quarter 2	82.3	83.2	-0.9	84.3	84.9	-0.6
Quarter 3	65.3	71.5	-6.2*	69.7	70.7	-0.9
Quarter 4	63.4	68.2	-4.8	65.9	66.7	-0.8
Quarter 5	59.9	63.7	-3.8	59.9	61.8	-1.9
Average Total AFDC Payments Received, Quarters 2-5 ($)	4730.96	5351.72	-620.76***	5009.24	5276.11	-266.87
Average AFDC Payments Received ($)						
Quarter of Random Assignment	1263.92	1252.19	+11.74	1260.53	1302.78	-42.24
Quarter 2	1399.71	1468.90	-69.19	1427.52	1486.25	-58.73
Quarter 3	1142.75	1328.52	-185.77***	1236.57	1326.72	-90.16
Quarter 4	1124.01	1307.92	-183.91***	1210.96	1251.74	-40.78
Quarter 5	1064.49	1246.38	-181.89**	1134.19	1211.39	-77.20
Sample Size	375	348	723	312	306	618

SOURCE AND NOTES: See Table F.4.

FOOTNOTES

FOOTNOTES - CHAPTER 1

1. Several components of the SWIM program continued to operate through September 1987.

2. In this report, AFDC (called AFDC-FG in California) refers to welfare cases headed by a single parent. AFDC-U (called AFDC-UP in California) refers to two-parent households where the principal earner is unemployed; all principal earners must have had some connection to the labor force during the 12 months prior to welfare application. The majority of AFDC-U cases are headed by married men; the heads of AFDC cases are mostly women. When the term welfare is used in this report, it refers to both the AFDC and AFDC-U programs.

3. A little more than one-third of all welfare adult applicants and recipients are required to register for work or training in WIN as a condition of receiving AFDC or AFDC-U benefits, i.e., are "WIN-mandatory." Heads of two-parent households covered by the program for unemployed parents (AFDC-U) are automatically considered mandatory. Heads of single-parent households covered by the AFDC program are mandatory, unless exempted because they are under 16 or over 65 years of age, under 21 and enrolled full-time in school, sick or incapacitated, the mother of a child under age 6, living in a remote area, a caretaker of a sick person, or the spouse of a WIN registrant. Failure to register with WIN or to participate in program activities can lead to a sanction that reduces or eliminates the family's welfare grant.

4. For a more detailed discussion of pre-OBRA welfare initiatives, see Goldman et al., pp. 4-22, 1984.

5. GAO, 1987.

6. Programs in eleven states were included in the demonstration, but only eight of the evaluations examined program effectiveness. See Gueron, 1987, for a summary of the demonstration results.

7. Friedlander et al., 1986.

8. Examples include the Employment and Training (ET) Choices program in Massachusetts, the Realizing Economic Achievement (REACH) program in New Jersey, Project Chance in Illinois, and the Greater Avenues for Independence (GAIN) program in California. As described later in Chapter 1, GAIN was

developed independently of SWIM

9. A key element in the bill was to shift responsibility for employable recipients from DSS to EDD, whereby EDD would issue the welfare checks. The intent was to form a closer tie between welfare and work by having the department in charge of employment issue the grant check. Because of EDD's concern about the feasibility of this, EDD takeover of grant payments to employables was put off until a second phase. Also, pilot projects were to be implemented in two counties to begin with; a third was added later.

10. See Goldman et al., 1985a, pp. 2-7 for a detailed discussion of the historical developments leading up to the EPP program in California and EWEP in San Diego.

11. The maximum number of work hours could not exceed the amount of the grant divided by the federal minimum wage, with the further restriction that participants be allowed one day a week for individual job search.

12. For full results, see three MDRC reports on San Diego's EPP/EWEP program: Goldman et al., 1986; Goldman et al., 1985a; Goldman et al., 1984.

13. Note that gains for AFDC's in the group eligible only for job search varied by cohort (or time of welfare application).

14. In San Diego, California's change to WIN Demonstration status resulted in several changes to the EPP/EWEP model. Programmatically, the most important changes prompted by WIN Demonstration status were the following: Responsibility for WIN registration shifted from EDD to the county welfare department; responsibility for initiating adjudication proceedings for registrants not complying with non-EDD activities was also shifted from EDD to county staff; individuals enrolled and participating in self-initiated education programs were allowed to be deferred from the program; and looser deferral criteria were instituted for individuals in self-initiated training programs.

15. Note that non-SWIM offices began to serve recipients as well as applicants in the EPP/EWEP program in 1985.

16. Original plans called for implementation of the program early in 1985. Several factors, however, led to a decision by the county to delay program implementation until July 1, 1985. First, the original grant proposal contained insufficient funds to support the level of research desired by SSA. The county decided to delay program implementation to allow a redirection of savings to the research effort. Second, San

Diego implemented the WIN Demonstration program on July 1, 1985. To change from regular WIN to the WIN Demonstration program after SWIM start-up would have disrupted the SWIM project. Third, the San Diego EDD district could not project the amount of money they would have available for the program until the end of their fiscal year. Fourth, the legislation permitting the county to operate EWEP was scheduled to expire June 30, 1985 without assurance of continued legislative authority or funding.

17. AFDC-U families, as well as the case head, generally lose all benefits when the head of the household is sanctioned. When an AFDC registrant is sanctioned, benefits are reduced by only the registrant's portion of the grant. The legislation specified that families of AFDC-U registrants who were sanctioned for non-compliance in connection with EWEP should not lose their AFDC benefits. To comply with this requirement, state aid was used to continue benefits for the families of AFDC-U registrants sanctioned in connection with EWEP.

18. Three tiers of wage rates were used. As of September 1985, the wage rate for individuals with no high school diploma was $4.19. The rate for those with a high school diploma but no higher degree was $5.31. The rate for those with a college degree was $7.06.

19. Broken down by fiscal year, non-research demonstration monies amounted to approximately $233,000 for October 1984 through September 1985; $742,000 for October 1985 through September 1986; and $725,000 for October 1986 through September 1987. Note that these monies extended beyond the 24-month period covered in the evaluation.

20. The statistics in this section come from several sources. Population numbers are from the California Department of Finance. Percentages of county residents employed in various labor sectors are from the California Employment Development Department. Unemployment rates are from the U.S. Bureau of Labor Statistics. Percentages of county population living in poverty, living in rural areas, having a high school diploma, and not using English as a primary language are from the 1980 Census.

21. This information comes from a one-page research interview document administered at initial registration. Note that not all of this activity was approved by program staff as meeting program standards concerning content, duration and credit hours. According to SWIM automated tracking system data, 7.3 percent of the AFDC registrants and 4.1 percent of the AFDC-U registrants were verified as initially active in approved

self-initiated education or training activities.

22. Unemployment rates for the State of California and the United States were, respectively, 7.8 and 7.5 percent in 1984; 7.2 and 7.2 percent in 1985; 6.7 and 7.0 percent for 1986; and 5.6 and 6.1 percent for May 1987.

23. In calculating the amount of each monthly assistance payment, not every dollar a recipient earns is subtracted from his/her welfare check. As specified by the (federal) Deficit Reduction Act of 1984 (DEFRA), the following disregards are applied to earnings: First, to take work expenses into account, a fixed amount ($75) is subtracted from the earnings. Then, up to $160 per child for the actual cost of childcare is deducted. Finally, as a work incentive, for four months an additional $30, plus one-third of the remainder of earned income not already disregarded, is deducted from earnings. For the next eight months, $30 is deducted.

    As would be expected, a state with a high payment standard allows a greater proportion of the welfare population to receive assistance while working, and the working recipients may have higher overall levels of earnings than those in low grant states.

    According to an MDRC study of the relationship between earnings and welfare benefits for working recipients, San Diego had a high proportion of welfare applicants who combined work and welfare in at least one month during a 12-month follow-up period. See Goldman et al., 1985b.

24. Note that at the end of the 12-month follow-up period, over one-fifth of those still registered with SWIM were employed and approximately half of the individuals who were still active were participating in an education or training program.

FOOTNOTES - CHAPTER 2

1. The components offered by the SWIM program evolved over time. STAR, a two-week employment search workshop, consisting of training in job search techniques and employment search activities in the field, replaced the bi-weekly Job Club component (associated with EWEP) in January 1987. STAR, a more intensive component, could not be done concurrently with EWEP. Therefore, those who were eligible for EWEP were referred to STAR first. After completion of STAR, registrants were referred to EWEP. The implementation of GAIN affected SWIM in several ways. Late in 1986, registrants began to take a literacy test as part of the orientation process. This test

was used as a pilot for GAIN. The implementation of GAIN in San Diego also affected the types of activities that were available during May and June 1987. In anticipation of a July 1, 1987 GAIN implementation date, many SWIM activities were either phased out or became short-term in nature during these months. For example, EWEP assignments made during these months were scheduled to end June 30, 1987. Long-term training assignments which utilized the payment of training-related expenses were not made during the last few months of SWIM since, according to the schedule, this type of funding would not be available after June 1987.

2. Interviews with supervisors from non-SWIM county offices indicated that the following differences existed between SWIM and the general county program: First, tracking of registrants' activities was not as extensive in the non-SWIM offices as it was in the SWIM offices. Second, in non-SWIM offices, social workers, not CRU (Coordination and Referral Unit) staff, would conduct assessments. Third, although non-SWIM offices could refer registrants to community education or training programs after EWEP or job club, non-SWIM office registrants were not eligible for ISESA. Fourth, staff in non-SWIM offices did little follow-up on registrants referred to education or training programs. Fifth, follow-up on employed registrants or those in self-initiated education or training did not occur as frequently as it did in the non-SWIM offices. Employment was generally verified at 30 days after the employment began and then every 6 months or year afterwards. Self-initiated registrants were generally asked to verify school enrollment at the beginning of each semester by providing school forms or signing statements at the program office verifying their attendance.

3. Sixty-two of these registrants were excluded from the impact analysis because they had no social security number. Social security numbers were used to access earnings records. These registrants were included in all other analyses.

4. Note that in addition to demographic differences between these two assistance categories, different procedures govern the calculation of welfare grants for the two assistance groups.

5. AFDC SWIM-eligibles who registered between July 1, 1985, and June 31, 1986, were weighted by a factor of 1.8571428571. AFDC-U SWIM-eligibles who registered between July 1, 1985, and June 30, 1986, were weighted by a factor of 2.3333333333. AFDC SWIM-eligibles who registered between July 1, 1986, and June 30, 1987, were weighted by a factor of 2.8571428571. AFDC SWIM-eligibles who registered between July 1, 1986, and June 30, 1987 were weighted by a factor of 3.3333333333.

6. During the second year of SWIM a few current WIN-mandatories who transferred into the SWIM offices from non-SWIM offices were taken into the sample.

7. The CIS completion rate was very high. A quality check of responses to the important demographic questions on the CIS revealed only 5 registrants in the impact sample were missing responses to any of these questions. Of these five registrants, 4 were missing only one response to the questions checked. One registrant was missing two responses.

8. Earnings reported for the third quarter may be preliminary estimates, since some adjustments to earnings may occur as a result of future reporting by employers.

9. UI earnings data were compared to previous employment recorded on the CIS forms of those individuals who reported having been employed for 19 or more months in the two years before random assignment. UI-reported earnings in the year before random assignment were found for 81 percent of the people who reported employment on the CIS.

10. Welfare payment records during the 20 months prior to random assignment were found for over 92 percent of sample members who reported having had their own AFDC case for more than two years before random assignment according to the CIS.

11. The SWIM Automated Tracking System data only captures information known to the program. It does not capture activities in community service programs or employment unless they were known to program staff.

FOOTNOTES - CHAPTER 3

1. This number represents the equivalent of 18 full-time staff members. In total, 19 staff were involved in SWIM, two of whom were part time.

2. SWIM clerks monitored the continuation of employment in two ways. The most common method involved registrant verification of their own employment. Every 45 days, clerks mailed forms to registrants which requested their employer's name, address, telephone, employment start date, work hours and rate of pay. The registrant would sign the form, certifying that he/she was still employed, and mail the form back to the clerk. Clerks also verified employment by checking whether income was used to calculate a registrant's welfare grant. An inherent lag existed in this procedure, however, since the income included

in a current grant calculation was what the registrant had earned two months earlier.

If verification forms were not received in a timely manner, returned forms indicated that the registrant had stopped working, or welfare records indicated a lack of earned income, the clerk notified a SWIM JDC. The JDC would mail a letter to the registrant requesting that he/she come into the office for an appraisal. If the registrant did not attend the appraisal, another would be scheduled. If the second appraisal was missed, the case would be referred to a social worker to start the determination/sanctioning process.

3. June 1986 was the last month in which a proportion of new SWIM registrants were assigned to a control group. Starting in July 1986, the only research-related responsibility of the SWIM clerks was checking that new registrants had not been previously assigned to the control group.

4. Caseload numbers were obtained through interviews with program staff and verified through MDRC calculations using data from the SWIM automated tracking system.

FOOTNOTES - CHAPTER 4

1. Sanctioned individuals were also required to re-register with the program once their sanctioning period was over.

2. Following the interview, SWIM staff were notified as to who to expect for registration/orientation. These applicants and re-determined recipients were told to contact a program office within one day to schedule a registration appointment. At the SWIM offices, receptionists took the telephone calls and scheduled individuals for registration/orientation within five working days. Clients were expected to bring signed registration forms back to their IM worker as a condition of welfare eligibility. Note that "automatic" registration procedures were not in effect during the time period that SWIM operated. Individuals were not considered to be registered until they completed the appropriate forms at program offices.

3. Although approximately one-third of the "renewal" recipients who were sent appointment notices through the mail did not attend their initial registration appointment, interviews with staff indicated that nearly all of those who were sent follow-up notices eventually registered. Data concerning the proportion of applicants or re-determined recipients who failed to register are not available.

4. Registration/orientation sessions were held five mornings per week at one SWIM office; four mornings per week at the other.

5. The research status of all individuals who came to the SWIM offices for registration was investigated before the registration/orientation session began. Any control group members among the individuals awaiting registration would be referred to a social worker, who would help them complete their registration forms and inquire about their social service needs. After this short meeting (about 5 minutes), these individuals could leave.

6. In one office, this was the first step in the registration/orientation process. In the other office, registrants would first meet as a group for a 5-minute overview of the scheduled registration and orientation activities.

7. In one of the SWIM offices, individuals were randomly assigned to a control or SWIM-eligible group before orientation took place. In this office, control group members and those eligible for the program attended separate orientation sessions. In the control group orientation, individuals were given information about available program social services (such as the $50 entered employment stipends) and community resources, and an explanation of their program rights and responsibilities. The orientation for those eligible for SWIM presented more information about the program.

   In the other SWIM office, random assignment took place while individuals were attending the orientation session. In this office, control group members and those eligible for the program remained together for orientation. During orientation, registrants were told that only some of them would go through the program. At the close of orientation, the session leader was informed as to who had been assigned to the control group. After releasing the controls from the orientation session, staff told the rest of the group that they had been selected for the program.

8. Starting in October 1986, the administration of an hour-long literacy test was included in the registration/orientation process. The test results were used for GAIN planning purposes.

9. Control group members did, however, remain in contact with their eligibility technicians.

10. Individuals referred to EDD staff for assignment would complete several forms and be given more detailed information about the job search workshops.

11. Undocumented workers who were the parents of United States citizen children could receive welfare benefits on behalf of their children. As a condition of welfare eligibility, these undocumented workers were required to register with SWIM, following usual WIN-mandatory regulations. However, they were not required to participate in the program because of their inability to work legally in this country.

12. In the second office some job club leaders were "dismissing" registrants from the component once they had attended six sessions.

13. The JDU job developers had a fairly extensive "bank" of jobs. Some of these job orders were procured as OJT slots. However, staff acknowledged that these positions rarely involved any skills training; staff referred to OJT as "buying a job for a client." In looking for registrants to fill available job openings no distinctions were made between OJT positions and unsubsidized positions.

14. CRU staff were informed of problems only on an exception basis, that is, if a referred registrant never attended orientation or dropped out of the program. If an attendance problem was identified, CRU staff would schedule an office meeting with the registrant. If the registrant missed two sequential meetings, the case would be referred to a social worker for a determination interview. If a registrant failed to attend two interviews with a social worker, a sanction would be requested.

15. For those who missed an orientation, the conciliation plan specified that they attend the next one scheduled. For those who had missed assigned days at a worksite, the conciliation plan specified two weeks of the next month's assignment in which the registrant had to work all assigned days or a sanction would be automatically requested. If the registrant adhered to the conciliation plan, the determination process ended. Later noncompliance would start the process over again.

16. For several years the county had had an agreement with RETC to fund JDU activities. At the beginning of SWIM, this agreement was restructured to include ISESA as a JDU activity. No changes to the contract, however, were made in relation to training activities. The few new agreements drawn up at the beginning of SWIM were done to avoid having SWIM registrants displace regular continuing education students. As the SWIM program got underway these agreements were not necessary and often not remembered, due to the relatively small numbers of SWIM registrants referred to community resources.

17. Registrants were informed of their scheduled assessment appointments via a SWIM appointment notice mailed to them at least 10 days prior to the scheduled date. The appointment letter did not specifically mention education or training; it simply noted that the registrant had been scheduled for an interview to review/develop his/her employment plan and discuss the services that the program could provide. The form noted on the bottom that failure to attend the interview could result in reduction or discontinuance of the registrant's AFDC grant.

18. Registrants would fill out questionnaires regarding their employment and educational histories, take vocational tests that measured interests, aptitudes and values, and then review the test results individually with a counselor. Counselors would make recommendations concerning registrants' suitability for different types of work and suggest community college programs which provided training for these occupations.

19. For the first failure to attend, registrants were automatically rescheduled (with a notice) for another assessment appointment. After the second no-show (some CRU workers allowed three missed appointments), the situation generally was referred to a social worker. The social worker then scheduled the registrant for a reappraisal interview and, if the registrant again failed to come into the office, automatically scheduled a second reappraisal interview. Registrants failing to attend either of these interviews were sanctioned.

20. ESL programs generally required attendance for three hours per day, five days per week; ABE involved ten hours per week; vocational programs required attendance for six hours per day, five days per week.

21. Note that SWIM did not set a limit on how long registrants could remain in education or training programs.

22. To refer an individual to this program, CRU staff first identified an individual as in need of ABE. Next, central welfare office staff reviewed the individual's score on a literacy test given to all WIN-mandatory registrants in the county (after October 1986) in preparation for the GAIN program. If the registrant's test score indicated that he/she would be reqired to seek ABE under GAIN, the individual was referred to one of the centers. If not, CRU staff were informed that the registrant should be referred to another provider.

23. Most commonly, a registrar at the school would certify attendance by checking with the registrant's teacher or consulting roll books; enrollment was not considered to be

synonymous with participation.

24. The primary reason that noncompliance in education and training was not sanctionable in its own right concerned registrants' eligibility for training-related expenses. Program planners envisioned that extensive support service payments would be required if education and training were deemed mandatory. Thinking that the costs of these support services would have been prohibitive, especially if registrants in self-initiated education or training were eligible for these services, program regulations were written in such a way that sanctions could be imposed for failing to attend office appointments but not for failing to attend education or training programs.

25. If a registrant was in training and the training did not meet this criterion, a deferral could be made if all the following conditions were met: the course was to be completed within one year; the training led to probable employment in the local labor market; and the training appeared necessary for the registrant to become competitive in the labor market at a suitable wage level.

26. If a registrant failed to return a form, however, CRU workers scheduled an office appointment. If the registrant had completed a program and was not employed, the registrant was assigned to another SWIM component. If the registrant failed to attend the appointment, adjudication procedures identical to those for program-referred registrants were followed.

FOOTNOTES - CHAPTER 5

1. Since participation rates in this section reflect data from the SWIM tracking system, these indicators show the extent of participation in activities known to and approved by program staff. Thus, registrant-initiated education or training activities are included to the extent that they met program standards as to content, intensity, or duration, and to the extent that program staff were aware of them. This definition of activity parallels the one used both by program administrators and by line staff.

2. Not all these individuals participated in job search workshops as their first component. Some individuals initially participated in self-initiated education or training, or were employed as of initial registration and participated in a workshop later in their program tenure.

3. As explained in Chapter 4, if program staff approved an

individual's self-initiated education or training program (a decision based on the content, intensity and duration of the program), the registrant would be deferred from assignment to a job search workshop or EWEP for as long as the registrant remained active in the education or training program.

4. This report defines sanction differently from the way it is defined in MDRC's other work/welfare reports. In those reports, an individual was assumed to be sanctioned if a deregistration occurred after program staff had requested that a sanction be imposed. In SWIM, sanctions were defined more rigorously. Program staff recorded sanctions in the SWIM tracking system only after receiving a notice from IM staff indicating that a sanction had been imposed and the individual had been deregistered for this reason.

5. However, caution is required in drawing comparisons with evaluations conducted as part of the Work/Welfare Demonstration due to differences in the point at which research groups were identified. For example, individuals applying for AFDC during the EPP/EWEP evaluation were randomly assigned at application, not at program registration. In that evaluation, controls could have been sanctioned for not registering with the program. In the SWIM evaluation, random assignment occurred at registration. Thus, once identified as a control, it would not be possible for this individual to be sanctioned for failure to register.

6. Sample members were categorized as applicants or recipients based on their status as of program registration.

7. The proportion of applicants who were denied welfare was approximated by examining the percent of applicants who did not receive welfare during the month in which they initially registered with the program as well as the month following this registration. This figure was 14 percent for AFDC applicants and 17 percent for AFDC-U applicants.

8. Two points should be noted concerning Table 5.4. First, the table only covers the first and second activites that occurred within 12 months of registration. Second, because participation in job clubs was usually concurrent with participation in EWEP, job clubs were not included in Table 5.4. The 6 percent of the AFDC's and 4 percent of the AFDC-U's noted on Table 5.4 as registrants who initially participated in program-arranged education or training are probably individuals who initially participated in job clubs (without concurrent participation in EWEP) and whose second activity was program-arranged education or training.

9. The percentage of individuals reported in this chapter as

active in self-initiated education or training as of initial program registration differs from the percentage reported in Chapter 2 for several reasons. First, the figure cited in Chapter 2 (based on a registrant questionnaire completed at initial program registration) includes any type of education or training. The education or training activities included in the analyses in this chapter are only those which were "approved" by the program, meaning that these activities met program standards as to content, intensity, or duration. Second, for some individuals who initially reported that they were active in education and training, schools could not verify their attendance. Unless attendance was verified, program staff did not record participation in the SWIM automated tracking system, the source of data for this chapter.

10. In this section, all averages calculated from enrollment data include weekend days.

11. Individuals who participated during the month but were deregistered during the same month were excluded from the sample. Also, the original sample consisted of 144 registrants. Twenty-three individuals were dropped from the analysis due to miscodes in the automated tracking system, computer sample selection problems, or incomplete case files. Finally, although all sampled registrants were AFDC's as of initial registration, the case file reviews indicated that one sample member was an AFDC-U recipient during the review month.

12. The data base includes the child's age, the providers of childcare during SWIM activities, the location of the care, and whether the program paid for childcare during the month. Information on whether the childcare provider was licensed, the amount paid for childcare, and the funding source for paid childcare was also collected, but was not of high enough quality to analyze.

13. Note that one registrant was a 16-18 year-old child on his/her parent's case. This youth was designated the WIN-mandatory registrant of the case. The registrant, who had no children, was considered the "child" of the case in this study.

14. One participant, whose youngest child was almost 14 years old and considered old enough to care for him/herself, is included in this statistic but not in the 22 percent figure given for participants whose children were all at least 14 years old.

FOOTNOTES - CHAPTER 6

1. About 13 percent of the nonparticipants did not receive welfare during the month in which they initially registered with the program as well as the month following this registration. It is likely that these individuals were eligible for the program for only a short time because their welfare applications were denied. Although almost 15 percent of the nonparticipants were eligible for the program during the whole 12-month follow-up period, it should be noted that 7 percent of the nonparticipants were undocumented workers. These individuals did not qualify for program services but may have been registered for long periods of time.

2. Excluding nonparticipants from the analysis indicates the extent to which the program imposed an ongoing participation requirement on those who participated at least one day. These results, calculated only for participants, indicate that only a relatively small proportion of all participants -- 21 percent -- were active during all the months in which they were eligible for program services. However, 48 percent of all participants were active in almost all (at least 70 percent) of their program-eligible months.

3. In this study, noncompliance was defined as follows: A registrant was considered to be out of compliance with program requirements whenever he/she did not participate in or complete an activity to which he/she was assigned. Note that if a registrant was assigned to a job search workshop and did not complete it (even if it was later discovered that he/she was denied welfare, deregistered, or found a job), this was considered noncompliance. Noncompliance also included situations where the registrant informed program staff of a legitimate reason for an absence prior to the scheduled start of an activity. Further, noncompliance included situations where program staff rescinded an individual's assignment prior to the scheduled start date of the activity. This occurred in ten of the 242 cases reviewed. In these cases, assignments were rescinded because program staff discovered that the registrant was pregnant, an undocumented worker, an excluded parent, no longer mandatory for other reasons, already working, or not on welfare. Note also that noncompliance refers only to program requirements -- not other welfare requirements. For example, refusal to apply for UI benefits or failure to submit an income reporting form was not considered noncompliance in this study.

4. For registrants who did not comply with program requirements during the 15 to 18 month follow-up period, detailed infor-

mation was collected on the first program component in which they were noncompliant. Where applicable, information concerning the second instance of noncompliance was also recorded, although not in as much detail as the initial instance. Although registrants could have been noncompliant in more than two program activities (e.g., the job search workshop, a reappraisal interview and EWEP), detailed information was not recorded for subsequent instances of noncompliance. As a result, the analysis presented in this chapter represents 90 percent of all instances of noncompliance noted for the sample in case file folders. The results of the case file reviews are presented according to the program activity in which the requirements were not met. Consequently, the action or treatment of registrants noncompliant in EWEP, for example, are analyzed together, regardless of whether this activity represented the first or second instance of noncompliance for the registrant.

5. The Notice of Action mailed to the registrant contained information concerning where to obtain free legal help. This form listed a state toll-free hearing and legal aid information number as well as the addresses and telephone numbers of local legal aid offices and welfare rights groups.

6. In order not to have their welfare benefits cut while waiting for a hearing, registrants had to appeal the sanction within ten days. If a registrant did not appeal within ten days, the sanction would be imposed. The registrant then had 90 days to contest the action; if he/she won the appeal, the sanctioned amount of the welfare check was refunded to the registrant.

7. Monthly participation rates, described in detail in Chapter 7, are also problematic in this regard. Consistently high monthly participation rates over the duration of a program do not necessarily mean that the program reached every individual in the targeted caseload or that a mandatory participation requirement was enforced. First, the individuals counted as inactive in each month's rate might be the same individuals each month; this would indicate that a core group of individuals never participated. Second, if the group for which these rates are calculated consists of individuals still registered with and eligible for the program, sanctions are not taken into account. (Individuals who are sanctioned are deregistered from the program during the sanction period and therefore are not calculated into monthly participation rates while the sanction is in effect.) Thus, monthly participation rates may mask the fact that some individuals did not participate in the program but were sanctioned for nonparticipation.

8. Note that employment was not counted as participation in this analysis. In addition, UI earnings records -- not program tracking data -- were used to estimate the proportion of individuals who held jobs during this period. These data did not provide sufficient follow-up on all sample members. Consequently, the sample used to calculate the coverage statistics comprised individuals who registered between July 1985 and April 1986.

9. Registrants generally participated within three months of initial program registration if they participated at all. Consequently, if coverage is measured at nine months after registration, instead of at the 12-month point, the proportion of those who were not subject to the participation requirement is still low: At nine months after registration, only 4 percent of both AFDC's and AFDC-U's had remained eligible for SWIM, were not employed, had never participated in an activity, and had never been sanctioned. As of six months after registration, the percent of the sample uncovered is also low: 6 percent of both AFDC's and AFDC-U's.

10. As noted above, caution is required in drawing comparisons with other programs evaluated as part of MDRC's Work/Welfare Demonstration due to differences in the point at which research groups were identified, length of research follow-up, target population, etc.

FOOTNOTES - CHAPTER 7

1. In fact, most of the analysis in this chapter adopts a relatively strict definition of the type of activity that constituted "program participation": To be considered active in a month, an individual must have attended a program-approved activity (including employment) for at least one day during the month. On the other hand, in terms of how intensively individuals had to participate in order to be counted as participants, this definition is not very strict. Although it is beyond the scope of this report, it is possible to define participants as those who attend a certain number of activity sessions or classes.

2. Sample sizes used throughout this chapter are weighted ones, representing actual SWIM-eligible caseload sizes. See Chapter 2 for a full explanation of the weighting factors.

3. As described in earlier chapters, registrants could be active in more than one type of component at one time. Additionally, in any given month, an individual could finish one type of component and begin another. In the monthly participation

rates calculated throughout this chapter, program activities have been prioritized in such a way that individuals are counted as active in only one type of activity during each month. In the rates, a higher priority was placed on activities which are most often thought of as "program participation." Program-arranged activities were given priority over self-initiated activities as well as employment; also, a higher priority was placed on self-initiated activities than on employment. Note that self-initiated activities included education, training and union or other self-initiated job search. Within the broad category of program-arranged activities, priorities were set in the following order: Work experience activities (including EWEP and OJT) were given highest priority. Participation in job search activities (including job search workshops, job clubs or STAR, and ISESA) was next, followed by program-arranged education or training. Two examples can illustrate the effects of these priorities. A registrant who participated in job club concurrent with EWEP would have been counted in the work experience category. If this same registrant subsequently found a job during the same month he/she participated in EWEP and job club, the registrant still would have been counted in the work experience category.

For clarity of presentation, some of the detailed breakdowns of types of activities have been collapsed in this chapter. For example, this chapter does not distinguish, as does Chapter 5, between education and training, or between education/training provided by community colleges, JTPA or other providers.

4. In varying the definition of participation, the type of activities counting towards participation is not the only factor that can be examined. As noted above, it is also possible to investigate how changing the intensity of the participation requirement would affect monthly participation rates. Throughout this chapter, individuals who participated in EWEP for at least one hour or any other activity for at least one day during the month were categorized as participants.

5. Caution is required in drawing comparisons between these participation rates and those calculated as part of MDRC's Demonstration of Work/Welfare Initiatives, due to different program settings, various data quality issues, measurement issues, different target populations, large or small control groups, and various program models. However, it is interesting to contrast these participation rates with those calculated for West Virginia's statewide unpaid work experience program -- a straight-forward work program in which the assignment lasts as long as the recipient receives welfare. The state successfully imposed the requirement for

the AFDC-U registrants but did not impose it rigorously for AFDC registrants. For AFDC-U registrants, counting only work experience as participation, the program achieved monthly participation rates of between 59 and 69 percent of the caseload on a monthly basis. These rates were calculated for May 1983 through February 1984 -- a steady-state period of the program. For AFDC registrants, rates were calculated for October 1983 through April 1984, a period in which the program was still phasing in its current WIN-mandatory caseload. AFDC monthly participation rates were much lower (again, counting only work experience), ranging from 13 to 21 percent on a monthly basis.

6. However, during the first few months of the demonstration, before Spanish-speaking job search workshops and EWEP worksites were developed, registrants who spoke only Spanish were immediately referred to program-arranged ESL courses. Once other program components were developed for these individuals, they were referred to workshops and/or EWEP before any type of program-arranged education.

7. Mathematically, this differential rule has the following effect: AFDC-U registrants who are employed are taken out of both the numerator and the denominator of the monthly participation rate. AFDC registrants who are employed remain in both the numerator and denominator of the rate.

8. The effect of varying the definition of program eligibles is the same when only program-arranged activities, or program-arranged and self-initiated activities, are taken into account.

9. Mathematically, changing the definition of "program-eligibles" in this way increases the denominator of the rate to a greater extent than the numerator. For example, during November 1986, 2,912 were registered throughout the month; 1,614, or 55.4 percent, were active at any point during the month. In the same month, 3,221 were registered as of the end of the month; 1,703, or 52.9 percent of these individuals, were active at any point during the month (not necessarily at the end of the month). Lastly, 3,468 were registered at least one day during the month (but not necessarily as of the end of the month); 1,800, or 51.9 percent of these individuals, were active at any point during the month.

10. Also note that Figure 7.8 defines program-eligibles as those who were registered at least one day during the month or quarter. When eligibility is defined as those registered as of the end of each month or quarter, the same relationship between monthly and quarterly participation rates exists.

11. This question is similar to one posed in Chapter 6 in reference to the extent to which the program imposed an ongoing participation requirement. In Chapter 6, however, eligibility and participation patterns were analyzed from the point of view of the registrants. To do this, program eligibility and participation were examined for each registrant over a 12-month follow-up period. The 12 months which this period represented were not the same 12 calendar months for each registrant. This chapter examines eligibility and participation from a program operations point of view. To do this, eligibility and participation are examined for each calendar month of the demonstration.

12. The methods used to define those who were inactive during the selected months (and thus select the sample) were slightly different from those used earlier in the chapter. First, a small number of individuals who were deregistered during the selected months were excluded from this analysis. Second, one or two individuals were considered active in this analysis because they attended an EWEP orientation during the month. This was not considered participating in the rest of the chapter. Third, the sample for this analysis was selected from an early computer file. Several variables on this file were incorrect, but were corrected for the computer file used for the analysis in the rest of the chapter. Thus, although all individuals included in the analysis were nonparticipants, according to the SWIM automated tracking system, there is a possibility that the sample is not completely representative.

13. Note that the sample included two individuals who were nonparticipants in both July and November 1986.

14. These individuals were not excluded from the analysis sample because they do shed some light on the status of those who were counted as "inactive" in the rest of the analysis. However, it is not likely that the monthly participation rates presented in the earlier sections were underestimates. Errors in the opposite direction are also probable. That is, some registrants recorded as participants in the SWIM automated tracking system were probably, in fact, not active.

FOOTNOTES - CHAPTER 8

1. Bane and Ellwood, 1983.

2. Appendix Table F.1 presents the regression models used in this analysis.

3. This may be due to the fact that recipients were phased into

the program at a slower pace than applicants. Differences between early and later enrollees may also be partly due to an improving labor market. There was a decline in the unemployment rate in San Diego county over the intake period for the impact sample; the unemployment rate decreased from 5.3 percent in the last six months of 1985 to 4.9 in the first six months of 1986. The effect of the unemployment rate declining is that the more advantaged remain employed or find jobs more quickly and therefore are less likely to apply for welfare.

4. For AFDC-U's, Appendix Table F.5 presents the regression model used in this analysis.

5. For AFDC-U's, the regression equations for earnings (and outcomes that include earnings, such as measured income) use a different model from that used with the employment and welfare outcomes. The model for earnings includes additional indicators of prior earnings, that is, earnings in the year, quarter and fourth quarter prior to random assignment. As indicated in Chapter 2, the difference between AFDC-U experimentals and controls in prior earnings were statistically significant. This, combined with the fact that prior earnings are highly correlated with future earnings, means that one should control for these prior differences when comparing the earnings of experimentals and controls. On the other hand, prior earnings are less related to the other outcome measures and controlling for them did not change the experimental-control differences on these outcomes in a meaningful manner, although impacts in some cases were slightly lower using the model with additional earnings variables. For this report, the additional measures of prior earnings are only included in the equations for earnings (and outcomes composed of earnings) and not for other outcomes. Alternative specifications of the model will be explored in greater depth for the final report.

6. When the sample is divided into subgroups, the sample sizes for each analysis are considerably smaller, reducing the likelihood of obtaining statistically significant effects.

7. Another difference between the AFDC-U and the AFDC comparisons is that the percentage of applicants and recipients did not differ between the two samples among the AFDC-U registrants as it did among the AFDC registrants. It is unclear why AFDC's and AFDC-U's would have been affected differently.

8. Goldman et al., 1986.

9. The SWIM offices were located in poor urban areas in the county in contrast to the other offices. This meant that the population served in the SWIM offices were more disadvantaged and faced a more depressed local job market.

10. The sanctioning rules for the AFDC-U registrants also differed between the two demonstrations. Usually, the entire AFDC-U case is closed if the registrant refused to participate. In SWIM, this rule applied to all activities except work experience, in which case only the registrant would be sanctioned if there were participation problems. In EPP/EWEP, this rule applied to all activities with no exceptions.

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359

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